

7 July 1981

PERFORMANCE APPRAISAL PROGRAM

ACTION PLAN

Assumption A: The Agency will remain committed to the MBO approach to performance appraisal using a rating scale with explicit performance standards.

Assumption B: The PAR Report recommendations will be approved.

Short Term

Immediate Action:

- ° Simplify PAR format, e.g.,
 - eliminate carbons
 - redesign layout
 - reduce size (cut to two pages with or without pin-fed feature)
- ° Discontinue use of EOP.
 - establish effective date
 - issue appropriate notice
 - consider disposition of those already on record
- ° Press for Agency-wide compliance in establishing performance standards at the full performance level.
 - notify components that AWP's should be retained in employee soft files.
 - determine need to retain AWP's for a specified period.
 - consider disposition of AWP's already posted in Official Personnel Files.

Continuing Action:

- ° Request OTE to increase emphasis and time allotted to PAR skill training.

- ° Consider feasibility of making available and pooling OTE and OP resources to be trained as workshop leaders to facilitate the development of performance standards by supervisors; they could:
 - work as teams directly in the components themselves.
 - assist supervisors in establishing three levels of performance standards, i.e., one on either side of the full performance level.
- ° Monitor PAR rating levels by Career Services quarterly to:
 - determine trends and significant differences within and among Career Services.
 - determine whether rating levels are being affected by the development of performance standards.
- ° Randomly sample Career Service records for employee's AWP's.
 - verify that AWP's are in fact on record.
 - insure compliance in the use of performance standards.
- ° Monitor OPM research and policy developments on performance appraisal.
 - check individual agency systems particularly those cited as showing promise in merit pay application.
 - attend workshops, "showcases," and other programs dealing with performance appraisal.

Long Term

Evaluate the Agency's PAR Program to determine its effectiveness and utility.

Option One (based upon a positive evaluation finding)

- ° Consider "fine-tuning" adjustments.
 - review the design of the package and change as appropriate.
 - "tighten" the relationship of the PAR rating scale to established performance standards.

- Determine whether the efficacy of the PAR would support an Agency merit pay program.

Option Two (based upon a negative evaluation finding)

- Determine whether the present program can be salvaged, i.e., answer questions such as:
 - How negative are the findings compared with the 1980-81 evaluation?
 - Are work objectives too difficult to identify and measure and relate to performance standards for most jobs?
 - Is the program too time-consuming for supervisors for the results achieved?
 - Would a major overhaul of the present package remedy the problem?
- If a major change in program concept as well as design is warranted the following questions should be asked:
 - Would a multiple PAR system be more appropriate for Agency use?
 - What alternative approaches to performance appraisal are there?
 - Would a combined approach work involving employee self-appraisal? (combines MBO participating features with a rating scale - without the need for explicit performance standards)
- The design, coordination, and implementation of the program should be the responsibility of OP/P&PS.

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Approved For Release 2005/08/02 : CIA-RDP89-01114R000300010001-2

Report of the Results of the Office of Personnel's Evaluation
of the Agency's Employee Performance Appraisal Program

1980-81

Office of Personnel
Policy and Programs Staff

June 1981

Approved For Release 2005/08/02 : CIA-RDP89-01114R000300010001-2

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Executive Summary

The evaluation of the CIA Employee Performance Appraisal Program undertaken by the Office of Personnel is provided in the accompanying report. The report contains several major sections and offers conclusions and recommendations. This summary abstracts the contents of the report.

Survey Demographics

Reviews the data characteristics of a stratified random sample of approximately 10 percent of Agency full-time civilian employees. Nearly two-thirds of those surveyed responded. The distribution of respondents by age and sex is comparable to that of the Agency population at large, and the results of the survey may be accepted as representative of the attitudes and opinions of the Agency workforce.

The PAR Survey - The Employee's PerspectiveValidity of Performance Appraisal

Reviews survey findings relative to employee attitudes on the significance of performance appraisal and the accuracy of ratings. A significant number of respondents (41 percent) are not convinced that improved job performance results in a corresponding improvement in the level of one's performance rating. Employee attitudes toward the accuracy of performance ratings are evenly divided; however, a large number (69 percent) believes supervisors give subordinates higher ratings than they deserve. Many employees question whether putting forth the effort to improve their job performance is worth it.

The Advance Work Plan (AWP)

Discusses employee attitudes toward the AWP and compares Agency experience with that of other Federal employees. In both cases a large number (45-53 percent) had little if anything to do with establishing performance objectives. Less than a majority (44 percent) believes the AWP will help improve the accuracy of their performance rating.

Evaluation of Potential (EOP)

Discloses that three-fourths of those surveyed believe the EOP to be fair and accurate, and suggests that this favorable reaction may very well stem from the possibility that nearly all respondents were given positive feedback. The survey results on the value of EOP differ markedly from the results obtained from a survey of Agency personnel evaluation boards and panels.

Supervisory Feedback

States that many respondents (73 percent) believe their performance ratings are consistent with what their supervisor leads them to believe is the level of their day-to-day work performance. Only 50 percent are satisfied with the amount of information they receive from their supervisors about their job performance, i.e., they want something more than a good rating level. Nearly all respondents (92 percent) believe they know what is expected of them on the job, and, on the whole, they have positive attitudes toward their supervisors. This statistical data is in contrast to the large number of respondents who offered written comments questioning the ability of their supervisors to prepare performance appraisals which are both fair and accurate.

Employee Satisfaction With the New PAR

Reveals that those surveyed do not, in the majority, claim satisfaction with the new performance appraisal system. Many respondents remain undecided (37 percent), and nearly 27 percent prefer a different system. Many respondents (71 percent) believe that the training of supervisors would improve the overall effectiveness of the appraisal process. Nearly all respondents (93 percent) agree that, at least to some extent, evaluation panels should use information other than an employee's work record to make promotion determinations.

The PAR Survey and Agency Supervisors

Establishes that most supervisor respondents (90 percent) believe at least to some extent that the typical supervisor would give an employee a higher rating to avoid a confrontation. Over 72 percent of the responding supervisors experience at least some difficulty with evaluating a subordinate's potential. Nearly a third of the supervisor respondents believe their immediate superior shows little interest in their skill in evaluating subordinates or does not view it as an important element of their job.

The PAR Survey - Employees Written Comments

Offers a broad sampling of the comments employees were invited to share regarding their thoughts and feelings about the new PAR. They responded in great numbers and often expressed themselves at length. It is evident they had given considerable thought to the subject and wrote with sincerity of purpose and conviction. The most common thread observed was their concern with personnel evaluation in general, and with the questionable quality of supervision and management.

Evaluation Board/Panel Assessment of PAR

Provides an analysis of the information requested from 130 Career Service personnel evaluation boards and panels. The purpose was to obtain input from

those directly involved in the use of the PAR while making comparative evaluations of employees. Approximately 61 percent of those surveyed responded. Of those responding, nearly one-half believe the PAR is no different than its predecessor (only 13 percent thought it was better); a majority find the EOP not to be useful; the AWP, as presently viewed, is not strongly supported, and plays only a minor role for panels; although the PAR rating scale is viewed as better than the old by 41 percent of the panels, the PAR format and package is found by a comparable number to be cumbersome and difficult to use. No unanimity exists among or within panels as to specific actions to take to improve the PAR.

PAR Rating Scale Statistics

Reveals that present employee rating levels remain comparable to those of the previously used fitness report. There is evidence, however, that significant differences in PAR rating levels exists among the Career Services (the NFAC Career Service has the lowest average rating level). A statistical analysis also points to the fact that an employee's rating level correlates positively with his or her grade level, i.e., the higher one's grade the higher one's rating level.

Discussion and Conclusions

1. This part of the report notes the major findings of the evaluation and some of the problems associated with performance appraisal in general, i.e.,
 - ° It is difficult to determine whether the findings reflect mostly on the system or the way it is presently being applied.
 - ° Nearly half of those responding to the survey claim they have not received a formal briefing or workshop on the new PAR.
 - ° Many managers failed to disregard the old system entirely when applying the new, e.g., they sought to relate the numerical ratings of the PAR with the letter ratings of the former Fitness Report.
 - ° The AWP was misconstrued by many employees to be a re-labeled Letter of Instruction, a form no longer used.
 - ° The EOP is not serving a useful function in the PAR program. A substantial number of supervisors experience some difficulty preparing it and are inclined to believe panels are better prepared to make such an assessment.
 - ° The PAR form is cumbersome and requires more time to complete than its predecessor; it should be simplified.

- ° The PAR, as presently applied, is not particularly effective as an instrument for use by panels in ranking employees in a competitive evaluation.
- ° Supervisors' performance standards are perceived by employees as highly subjective, and are subject to change whenever supervisors are replaced.

2. Some authorities are highly skeptical that the Federal Government can implement a performance appraisal system based on "merit." This evaluation does disclose many problems associated with the PAR, yet employees remain very much interested in the subject. There is evidence, however, of growing cynicism among employees whether the performance appraisal program will ever improve. Consequently, there are a number of employees who advocate not "tinkering" with the program. For this reason we should proceed with caution and not introduce major changes too soon.

Recommendations

1. The Agency should continue to seek improvements to its performance appraisal program recognizing that some of the issues will be difficult to address. We should not act hastily to invoke change simply because the present PAR system has some serious problems. Work on this subject is continuing throughout the Federal Government and there is hope for developing a significantly better program in the months to come.

2. Certain actions should be taken in the meanwhile to strengthen the PAR as study continues on the subject. The following is recommended:

- a. Modify and simplify the PAR format (eliminate the use of carbons);
- b. Discontinue the use of the EOP;
- c. Retain the AWP for record purposes in the component soft file not in the Official Personnel Folder.
- d. Increase the emphasis on performance appraisal skills in managerial training courses;
- e. Require supervisors to comply with dated 23 February 1981, which focuses attention on the need to develop explicit performance standards at the "4" level of performance.

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Report of the Results of the Office of Personnel Evaluation
of the Agency's Employee Performance Appraisal Program

1980-81

Introduction

A newly revised employee performance appraisal program was introduced in the Agency in October 1979. This report provides an evaluation of this revised program and a general statement on the status of employee performance appraisal in the Agency.

A 10 percent stratified random sample of Agency full-time civilian employees was surveyed over a period of several months commencing in the Spring of 1980. This staggered approach to employee surveying was based on the fact employee performance appraisals are scheduled throughout the year rather than accomplished at one time in one annual exercise. Performance appraisals are scheduled according to employee grade level and employees were surveyed shortly after their appraisal under the revised program. We believe that the fresher the employee exposure is to a subject the more likely their attitudes and expressions of opinion reflect their true points of view.

The employee survey represents the primary data base for the report although several other evaluation methods were used. They are:

1. A review of a random sampling of completed Performance Appraisal Reports (PARs) as received by the Office of Personnel;
2. The perceptions of Agency personnel evaluation boards and panels as to the utility of the PAR;
3. An estimate of the apparent cost effectiveness of preparing the PAR as observed by component personnel officers and,
4. A statistical analysis of overall performance rating levels on PARs submitted during 1980.

I. Survey Demographics

A. A total of 1578 employees were surveyed randomly at the time of their scheduled annual performance appraisal. Approximately two-thirds of the questionnaires were returned in usable condition. Considering the survey was world-wide and that a fair number of "misses" occurred because potential participants either retired, resigned, were on Leave Without Pay, or for other reasons were never reached, the response rate was quite satisfactory.

B. The questionnaire sought information on each employee's Career Service affiliation as well as other demographic data. We erred in assuming that employees know their Career Service symbol, e.g., M=DDA, I=NFAC, etc. Over 35 percent of the respondents claim they do not know their Career Service designation.

C. Data analysis also reveals that the distribution of respondents by age and sex is comparable to that of the Agency employee population. It was ascertained that 71 percent of those surveyed in the domestic and foreign field returned their questionnaire. The sample size and representativeness suggest that the results are to be trusted as characterizing those attitudes and opinions of Agency employees at large.

D. The following tables summarizes the demographic characteristics of the 1053 respondents to the survey:

TABLE 1

Employee Respondents by Grade Group

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GRADE GROUP	QUESTIONNAIRES MAILED	% RESPONDENTS
GS-06 and below		58
GS-07 and 08		61
GS-09 and 10		56
GS-11 and 12		71
GS-13 thru 15		78
SIS Member		82
Other Pay Category		49

TABLE 2

Respondent Demographics

CHARACTERISTICS	PERCENT OF RESPONDENTS
Length of Service	
a. Less than two years	
b. Two to four years	
c. Five to ten years	
d. Eleven to twenty years.	
e. More than twenty years.	
Time in Present Position	
a. Less than one year.	
b. One to two years	
c. Two to three years.	
d. Three to five years	
e. More than five years.	
Current Grade	
a. GS-06 and below	
b. GS-07 and 08.	
c. GS-09 and 10.	
d. GS-11 and 12	
e. GS-13 thru 15	
f. SIS	
g. Other Pay Category	
Level of Education	
a. Less than High School Graduate	
b. High School Graduate	
c. Attended Technical, Vocational, Business School	
d. Bachelor's Degree	
e. Advance Degree	
Age	
a. Less than 25.	
b. 25 to 34	
c. 35 to 44	
d. 45 and above	
Sex	
a. Male	
b. Female	

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E. One demographic characteristic of special interest is the length of time employees have been in their present jobs. The matter of employee mobility is a subject of interest to management over many years. For the most part the interest relates to whether employees are achieving sufficient broadening; whether they are afforded enough rotational or developmental assignments; and whether cross-Directorate employee movement is too little and too difficult to achieve. The Survey respondents again provide evidence that employees are on the move. While nearly 66 percent of the respondents have been with the Agency over ten years nearly 60 percent have been in their current positions less than two years. In the 1976 Agency-wide personnel management survey 79 percent of the respondents claimed being under their current supervisor less than two years. It was also revealed in the 1976 survey that 61 percent of the Agency's mid-level managers had been in their current positions less than two years. Mention is made of employee mobility because it relates to employee performance appraisal programs, their design and their effectiveness. This will be explored further in the conclusions of this report.

II. The PAR Survey - The Employee's Perspective

A. Validity of Performance Appraisal

1. Survey findings indicate Agency employees have very mixed, even contradictory, feelings about performance appraisal. Although literature on the subject suggests that employees often believe their performance appraisal is based on only parts of their job, the large majority of survey respondents (81%) are satisfied their ratings reflect total job performance. This may be explained in part by the fact that most Agency employees receive favorable ratings and persons receiving favorable ratings are not likely to challenge the basis for such a judgment. In contrast, survey participants were nearly evenly divided on the question of the accuracy of performance ratings. Those respondents assigned to the Executive and DO Career Services show an inclination to be more skeptical than the others. A substantial majority of respondents (69%) believe supervisors give subordinates higher ratings than they deserve. The tendency to this point of view correlates positively with employees' length of service, grade, and age, i.e., the longer employed, the higher in grade, and the older in age, the more likely the employee will believe performance appraisal ratings are inflated. On the other hand, some 39 percent of the respondents contend that supervisors give lower ratings than subordinates deserve. Lower-graded employees, those under 25 years of age, and women are more likely to hold this opinion.

2. Perhaps one of the more significant findings regarding employee attitudes toward the validity of the PAR is that 41 percent of the respondents are not convinced that improvement in their job performance will lead to a higher performance rating. This tendency toward what might be

characterized as cynicism increases with age and relates somewhat to the level of an employee's education. By comparison, data provided in the Federal Employee Attitudes Survey Report (FEAS) published in September 1979, discloses that 55 percent of those surveyed believe there is a tendency for supervisors to give the same performance rating regardless of how well people perform their jobs. The FEAS Report further reveals that 48 percent agree that "financial rewards are seldom related to employee performance," and 56 percent say that it is not at all likely that individuals will be promoted or given better jobs if they perform especially well.

3. One of the major purposes for performance appraisal is to spur employees to improved job performance for which they may anticipate some sort of benefit, albeit in some case the benefit may be simply more job security. Although CIA employees appear, on balance, to have a more positive attitude than other Federal employees on this subject, it is clear that a significant number of employees question whether putting forth the effort to improve their job performance is worth it.

B. The Advance Work Plan (AWP)

1. A majority of respondents (59%) agrees that the AWP is useful. The AWP is supposed to reflect performance goals and priorities that are decided by the employee and supervisor together. More than 53 percent of those surveyed, however, claim they either do not have an AWP, have not participated in its preparation, or if they did participate they did so only to a slight extent. This finding compares with the FEAS statistic showing over 45 percent claiming they and their supervisor do not jointly set performance objectives. Survey data reveals that in the Agency, higher-graded employees and those in NEAC and the DDA are more likely to become involved in the preparation of their AWP's.

2. Less than a majority of respondents (44%) believes the AWP will help to improve the accuracy of their performance ratings. The AWP is supposed to contain performance standards against which employee performance is to be measured. Whether this specific point was being addressed by respondents is unknown but 27 percent say that the AWP does not improve the accuracy of performance ratings. It is quite possible that many AWP's do not contain well written and clear performance standards so employees have no basis to assume that the AWP will serve to enhance the accuracy of performance ratings. The AWP may be too new and employee experience too limited to establish how firm employee attitudes are on this subject.

C. Evaluation of Potential (EOP)

Two-thirds of the respondents believe the EOP provides useful feedback information, and nearly three-fourths believe the EOP to be fair and accurate. It may be that this favorable reaction stems from the possibility that nearly all respondents were given positive feedback. Those

receiving favorable performance ratings often receive positive evaluations as to their potential. These survey results on the value of EOP differ markedly from the results obtained from a survey of Agency personnel evaluation boards and panels. (See Section V)

D. Supervisory Feedback

1. The large majority of respondents (73%) says their performance ratings are consistent with what the supervisor leads them to believe is their level of day-to-day work performance. Nearly 60 percent indicate that at least to some extent their supervisors actually indicate how well they are doing on a day-to-day basis. A somewhat contradictory statistic indicates that only 50 percent are satisfied with the information they receive from their supervisors about their job performance and that they receive this information only on an annual basis (46%). This finding suggests that while favorable performance ratings may, in many instances, ameliorate employee attitudes about the frequency and sufficiency of supervisory feedback, when specifically queried about the matter, however, they appear less satisfied. The message conveyed seems to be that employees want feedback to consist of something more than a good rating level, i.e., the amount of information they receive and the frequency it is given are important also. FEAS results are somewhat comparable. Whereas 57 percent of those Federal employees surveyed claim their supervisors give them adequate information on how well they are performing (this tends to match our survey findings), only 24 percent believe they get feedback for good performance often enough. One might conclude that a good performance, whether sporadic or continuous, does not evoke sufficient complimentary feedback from supervisors.

E. Employee Perceptions of Supervisors

Nearly all respondents (92%) believe they have at least a moderate understanding of what is expected of them, and this perception correlates positively with the age and years of service of the employee. Employee understanding must come from sources other than the supervisor as 31 percent of those surveyed are not prepared to say their supervisors let subordinates know what is expected of them. On the whole however, survey statistics suggest employee attitudes toward their supervisors are distinctly positive, i.e., the supervisor is approachable and communicative (81%); the supervisor is willing to make changes (73%), and makes his or her attitude regarding the employee's job performance clear to the employee (70%); and finally the supervisor treats all subordinates fairly (68%). This statistical data is in contrast to the opinion expressed by the large volume of employees volunteering written comments. They question both the calibre of supervision they receive and the ability of their supervisors to prepare performance appraisals. (See Section IV)

F. The PAR and Comparative Evaluation

Some 82 percent of the respondents believe their performance appraisal rating should determine their comparative evaluation standing. (N.B.--the large majority of Agency employees receive favorable performance appraisals). In this connection nearly all employee respondents (93%) agree that at least to some extent evaluation panels should use information other than their work record to make determinations regarding their ability to assume higher level responsibilities. Employees also strongly endorse the right of appeal when they are dissatisfied with their performance rating (93%), and believe the individual who determines their rating should be held accountable (93%).

G. Employee Satisfaction With the New PAR

1. Those surveyed do not, in the majority, claim satisfaction with the new performance appraisal system. Many respondents remain undecided (37%), but a comparable number claim dissatisfaction (36%). New employees seem more satisfied whereas those at grades 7, 8, and 13 through 15 are least happy with the new system. Again an element of contradiction may be observed, i.e., sixty-three percent of those responding believe the new system yields an accurate picture of their performance, and only 27% clearly prefer a different system. By comparison 49 percent of those included in the FEAS believe their performance ratings are fair and accurate. Many Agency employees (71%) do believe that training in the subject of performance appraisal would improve the overall effectiveness of the appraisal process. The older the employee and the higher in grade the less convinced they are that training would be of much help. Less than a majority of respondents (40%) considers the new system to be an improvement over its predecessor, the "Fitness Report."

2. The new PAR specifically provides for written comments at the option of the employee. Approximately 11 percent of the respondents took the option to comment. Of those that did not, 77 percent either had nothing in particular they wanted to say or assumed if they had a good report they were not expected to offer comments. Nearly 15 percent were concerned that what they might say would be misunderstood or that any critical remarks they wanted to make would create problems for them.

3. Nearly 40 percent of the respondents are either undecided or disagree that their supervisor maintains definite standards of performance. DDA and Executive Career Service employees disagree the most. This concern about standards may reflect employee doubts about whether the supervisor uses an explicit set of criteria against which to measure job performance. This is required under the new PAR system. FEAS results are comparable to ours, i.e., about 40 percent of those surveyed are

either undecided or believe that they have not been aware what standards are used to evaluate their performance, nor are they convinced that the standards used were fair and objective. The matter of job performance standards could be one of the chief reasons that Agency employees seem to have mixed and contradictory attitudes about performance appraisal.

III. The PAR Survey and Agency Supervisors

A. Survey Facts About Supervisors

1. More than 60 percent of the supervisors responding to the survey have at least five years experience. The amount of experience correlates positively with the individual's age and grade. Of the Career Services the DDA supervisors are the most experienced; women supervisors are less experienced than men.

2. The number of supervisors who have attended a formal briefing or workshop on PAR is evenly divided. DDA Career Service supervisors attended in greater numbers than others.

3. Approximately 58 percent of the supervisor respondents prepare PARs on more than three persons.

B. Supervisors and Performance Appraisal

1. The rating tendencies of Agency supervisors are characterized as follows:

a. Nearly 50 percent would rate 20 percent or less of their immediate subordinates at the highest one or two levels of performance (i.e., at the 6 and 7 level of the PAR). In this regard there appears to be a marked difference between SIS level supervisors and those at the GS-13 through 15 level. The former are more inclined to rate a much higher percentage of subordinates at the two highest PAR rating levels.

b. Although the overwhelming majority of supervisors (93%) would rate 20 percent or less of their subordinates at the lowest one or two levels of performance, of the 7 percent who would rate a higher percentage at these levels over one-half are supervisors at the GS-9 through 12 level.

2. The vast majority of supervisors (90%) believes that at least to some extent the typical supervisor would give an employee a more lenient rating to avoid a confrontation. The tendency to this view relates negatively to time on the current job, i.e., the longer the supervisor has been in his or her present position the less they are inclined to believe this to be true.

3. More than 72 percent of the responding supervisors acknowledge that at least to some extent they have difficulty in evaluating a subordinate's potential; women express experiencing more difficulty than men.

4. Nearly one-third of the supervisors believe their immediate superior has little interest in their skill in evaluating subordinates or does not view it as an important element of their job. By comparison only about 20 percent of the Federal employees surveyed under FEAS agree that their supervisor or the organization considers performance appraisal as an important part of the supervisor's duties.

5. Although much of the feedback reflected elsewhere in this report complains of the PAR's length, 71 percent of the supervisors responding believe they have sufficient time in their work schedule to properly evaluate their subordinates.

IV. The PAR Survey-Employees' Written Comments

A. Employees Invited to Share Their Thoughts

Part III of the survey invited participants to write any thoughts or feelings they may have toward the new performance appraisal system. Nearly two-thirds of those who responded elected to comment. There was no attempt to direct employee comments to any particular aspect of the system. Being free to address PAR issues of their own choosing most of those providing written remarks expressed themselves at length with apparent sincerity of purpose and conviction. It was also evident that they had given considerable thought to the subject. Perhaps the most common thread among their comments deals not so much with the performance appraisal system but with Agency personnel evaluation in general and the questionable quality of supervision and management. Many find the calibre of supervision deficient and believe the system to be less important than the skills and competence of supervisors in preparing performance appraisals. Some respondents doubt the ability of supervisors to evaluate employees without bias and without unfair advantage "given the old boy network."

B. Excerpts From Employee Remarks

The following are excerpts from written comments made by survey participants and are offered as being reasonably representative of employee attitudes on the subject of performance appraisal in the Agency. The comments are arranged by selected topic areas and some of the responses have been edited to avoid possible identification of individuals.

General Observations

SIS (Age 45 and above)

--The change from the FR to the PAR was a mistake. It represents bureaucratic over-complication at its worst. It increases the mindless, purely mechanical burden on the rater and the reviewer and contributes almost nothing to an improvement in the substantive input.

GS-13 to 15 (Age 45 and above)

- Too many times the performance appraisal or fitness report is based on personality considerations and friendships etc. -- but more importantly as long as the subordinate does not "make waves" or cause problems for his immediate supervisor, he or she can expect a reasonably good performance rating. If the employee--even with the best of intentions--offers constructive criticism which the supervisor considers a challenge to his authority and position, it will usually result in lower performance ratings. I believe that most employees would be deterred from making any adverse comments in section 4 of the PAR because of the adverse effect it would probably have on their career in the long term. In essence, you can't beat City Hall.
- The new PAR attempts to substitute more sheets of paper for a hard decision: 1) either allow supervisors to contribute additional comments, outside the PAR that employees will not see, in panel meetings where candid comments can be offered or 2) recognize that so long as the employee sees everything written about him/her, few--very few--supervisors have the courage, integrity and tact to describe specific faults and criticize them directly to a person with whom they must continue working on a daily basis.
- I have only been here 1 1/2 years and probably don't understand the problem. However, the entire procedure of PAR, AWP, Review Boards etc. seems to waste a lot of time. The requirement for a system like this one probably exists but couldn't it be simplified to take about a fourth of the time currently required.
- Because of a number of lateral moves by myself and supervisors I have been rated three times in the last year. Based on these ratings and no additional information I could not possibly be recognized as the same person.

GS-13 to 15 (Age 34-44)

--In this Agency, we do not train managers - we promote good performers to management positions as rewards, and expect them to acquire management skills through osmosis. In the case of PAR's, too many folks think about them on the day that they are due, hate like hell to give bad news to anyone, and tend to gloss over problems.

GS-13 to 15 (Age 25 to 34)

--By and large, no sophisticated employee or supervisor takes the appraisal system that seriously. The bottom line is not what the reports say, but who gets promoted to what grades and when. The rest of the system is simply cosmetic.

GS-11 or 12 (Age 34-44)

--I am pleased to have this opportunity to express my feelings on the PAR and personnel policies in general. However, I remain convinced that this exercise like many of the others will do nothing to change the situation. I have looked at personnel problems from three vantage points: the military, private industry, and this organization. I can say without any equivocation that this is the worst of the three. I have witnessed QSIs being awarded for work that was not done, I have seen officers boldly lied to, and I have seen superiors lie and be caught in lies and yet never having to answer for them. I have seen individual officers locked into pedestrian pursuits for the purpose of merely filling an open slot and I have seen the inadequacy of our so called grievance system and the contempt and distrust employees have for the system.

GS-11 or 12 (Age 25-34)

--I don't really see any great change. I believe the individual being rated still is at the mercy of his supervisor.

GS-9 or 10 (Age 45 and above)

--I dislike being totally negative but can see no great changes or improvements evolving from this new system.

Advance Work Plan

SIS (Age 45 and above)

--I find the Advance Work Plan little if any use to me. The AWP cannot be easily applied to positions demanding "creativity" where concepts involving "how much" or "how many" are not applicable.

--The general objective in the AWP states the obvious. The specific objectives are too selective and not that important in terms of all the things I should attend to during the course of the year. It is too much trouble to update the AWP as new problems arise.

--My experience with the panel was that the LOI or AWP or whatever it is called played virtually no role in the deliberations of the panel. It is fadish as one more demonstration of participatory management - the supervisor and the employee working together in tandem - but otherwise of little value.

GS-13 to 15 (Age 45 and above)

--The flaw in the performance appraisal system is, I believe, the use of an AWP. By the nature of the intelligence business flexibility is paramount - an AWP - if followed would often lead to rigidity.

--I would wager that 95 percent of all AWP's are nothing more than glorified job descriptions, and I would further wager that once written, most are filed and forgotten.

GS-13 to 15 (Age 35-44)

--In my view, the AWP should be an internal document -- between the employee and his immediate supervisor. The document could then serve as a document of mutual agreement -- contract or guide, the main problems likely to arise from the AWP stem from its distribution to higher level supervisors, administrative staffs, and comparative evaluation panels.

GS-11 or 12 (Age 45 and above)

--In my present position an accurate AWP is difficult to prepare as daily operational requirements dictate tasks to be performed. In my case the AWP was made with full knowledge that it would not be used. An AWP was needed so one was made up.

GS-11 or 12 (Age 35-44)

--I know what is expected of me because of my familiarity with the work and because it is set forth in office guidelines. My input to the AWP and the only communication on this score from my immediate supervisor was to tell me to "sign here please."

GS-9 or 10 (Age 35-44)

--Feel the AWP would be more useful as an in-office document to establish agreed upon goals between supervisors and employees only.

GS-7 or 8 (Age 25-34)

--The AWP is not written in advance, but is written the same day as the PAR, and is merely a repeat of the duty section on the PAR. I have yet to see one AWP that outlines priorities and goals - most read like a position description.

Evaluation of Potential

SIS (Age 45 and above)

- Evaluation of potential leads to fantasy trips. They are used to "motivate" without really assessing the reality of the potential assignments etc. being discussed.
- The potential section of the PAR is meaningless. No rating/evaluation panel that I know (or Career Service Board) pays the slightest attention to it although they may profess to if queried because they know top-level Agency management wants to hear that.
- Potential section is a mistake - first line supervisors are not the best judges.
- The EOP section seems clearly to be one of those mechanical exercises which has about as much impact on promotion panels as mention of cost effectiveness or EEO.

SIS (Age 35-44)

--I continue to question the usefulness of the Potential statement. Supervisors are not prepared to tell employees they have no potential or are guaranteed a career path through the supergrades. In fewer cases can the supervisors actually articulate the reasons for their judgments.

GS-13 to 15 (Age 35-44)

--The concept of an EOP seems to imply that continuous upward movement is a mandatory state, and that the alternative is tantamount to a stigma. This does not conform to the practical realities of life, where advancement is not always possible because of a variety of institutional circumstances that are beyond the employee's control.

GS-11 or 12 (Age 35-44)

--Biggest problem I have with PAR is the Evaluation of Potential. I find it very difficult to tell someone they have little or no potential. I know of at least one resignation because they had been doing the same job for years and did not want promotions or additional responsibilities and were told they had no potential but that they were doing a good job.

--I am very troubled by the Evaluation of Potential. This is not only because of the subjective nature of the idea itself. There seems to be an area of confusion of terms and a dichotomy of purpose. A careful reading of the form in its entirety and the instructional material for the preparer shows a shift back and forth between "duties" and "responsibilities;" the addition of the qualifier "higher level" within the categories changes the sense of "added responsibility."

GS-9 or 10 (Age 25-34)

--The part that really describes me is the evaluation of my potential. I would hate to think my career rides on the whim of someone who doesn't have the training in evaluation of personnel and doesn't understand this type of evaluation. You can't be serious when you expect rank and file employees to agree with this type of system. You have given a lot of power to people who are not trained and in some cases unfit to make these kinds of evaluations. To sum-up, this new system scares the hell out of me.

Complaints/PersonalGS-13 to 15 (Age 45 and above)

--The reviewer stated I could not write comments after he had written his. He said "I have the last word." My reading of the PA Handbook leads me to believe the employee has the right to write comments after both the rater and reviewer write theirs.

GS-11 or 12 (Age 45 and above)

--As far as performance is concerned office policy states that a four or five rating is average. I have received two reports (within the past six months) using the new appraisal system. On the first report, my supervisor gave me 6's and 7's. The reviewing officer gave me 4's and 5's. On my annual report my new supervisor gave me 4's and 5's following our Director's guidelines. Naturally I believe the first report to be a true rating of my performance.

GS-11 or 12 (Age 35-44)

--In my particular component, the policy has been established that no one is deserving of a 7 evaluation. Therefore, no matter how hard you work and no matter how good a job you do, there is no way you can earn a 7 rating. This really kills incentive.

--Examples of feedback from two supervisors to me:

1. This plan has too many pages.
2. You've done the job perfectly, but only for one year. Therefore, you are rated as a 4. Next year you'll get a 5.
3. I don't need to write a description of what you've done. We all know, and I don't care about others outside my office.

GS-11 or 12 (Age 25-34)

--In my case, in the past year three separate PARs were written (all at the same time) in order to meet the promotion panel deadline one was written ten months after I left that office - another was written to cover a ten month period when I was in training - written by an individual who I had never met and reviewed by another who I also never met. The final PAR was written by an individual for whom I had worked ten days - he also filled out a potential rating.

--On one occasion I had to raise an overall rating because a subpanel had decided this person was in line for a promotion.

GS-7 or 8 (Age 35-44)

--My supervisor used the "new" system to lower all my ratings from previous year because of personnel reasons - telling me everyone was being treated the same - until I found out what my supervisor really did - a P in previous years was not a 3 on new system - I am no longer in the same office.

GS-7 or 8 (Age 25-34)

--I personally have been in grade 9 out of 11 years and see no hope for promotion. Please be advised, this comes after being rated strong/outstanding year after year.

--I don't believe my PAR is fair or accurate in that when one of my supervisors is away, I must fill in completely and take care of his business while he is gone. I am totally responsible for getting his cables out, traces done, replies to Liaison, holding meetings with his liaison contacts, etc.

GS-6 and below (Age 35-44)

--In my new job my performance remains the same, but my new supervisor does not feel anyone, almost without exception, deserves a rating higher than a "5" and has so stated. Consequently, I have one PAR with excellent ratings and comments and another with very average ratings and comments. This can only look strange to someone reviewing my folder for a new position. I considered making a comment in the proper section but was concerned that this would only complicate the matter.

Criticisms/General

SIS (Age 45 and above)

--The form itself has resulted in great inefficiency in thousands of hours of lost time in typing and retyping.

GS-13 to 15 (Age 45 and above)

--I feel there is a decided tendency on the part of us all to avoid confrontation by providing narratives and ratings that employees are willing to accept. This is strengthened by the statement in the PAR Handbook mandating action to resolve areas raised by an employee's rebuttal. Who needs all the hassle involved!

--The new form is more cumbersome than the old, and more complicated to read as well as to fill out. One weakness is that employee signature is separated from the evaluation page, and someday there will be employees who are "sure" that something was added or deleted after they saw their PARs.

--The new appraisal system is more complicated, lengthy, time-consuming and redundant than the former systems. I do not believe it yields a commensurate return in improved management. A simpler system would be better.

GS-13 to 15 (Age 35-44)

--We are continuing to spend an extraordinary amount of time on performance appraisal and not enough time doing our jobs. The paper continues to proliferate; and no visible change takes place in our ability to evaluate people's performance.

GS-11 or 12 (Age 35-44)

--I've perceived an apparently unconscious process whereby relatively early in one's career one is placed into one of two categories - "comers" and "also rans," and having been placed in the latter it appears unusual for the individual to make it into the former. Once again, this process is incompletely reflected in the PA process.

- I feel no security in my position for the future. I am not confident that I know where I'll be and what I'll be doing six months from now - even assuming a high degree of satisfaction by management for my work. Further, I am not confident that future changes will take into account my personal needs, desires, etc. I and a number of my colleagues have indicated to each other that we perceive it to be a great game of chance. That I do not find agreeable.
- The system does not provide specifics as to what the panel should look for in a PAR when evaluating a clerical. Specifically, my subordinate who received "O's" on her last three fitness reports ranked in the low 40% of her grade level although she is superior in all aspects of her job.

GS-11 or 12 (Age 25-34)

- So still a relatively new employee I still don't know what a good appraisal is or what a bad one is. What are the standards? The system is based on comparisons, but what are the standards for comparison? This is my greatest criticism of the current system.

GS-9 or 10 (Age 35-44)

- There are thirteen criteria which must be commented on if you are a supervisor at the GS-12 level in addition to the nineteen criteria which are to be commented on as appropriate. This is difficult to do in a one page narrative especially if outstanding performance is to be commented on with adequate support.

PAR Ratings/Evaluation PanelsSIS (Age 45 and above)

- The old evaluation system (O, S, P, M, W) was more than adequate and should not have been changed. The new rating system is an exercise in bureaucratic nonsense. Offices and Directorates have gone to considerable effort to equate the new numerical ratings with the old "outstanding," "strong," etc. This was mostly caused by lower-level supervisors (i.e., Branch Chiefs) who felt uncomfortable with the new ratings and pressured management to give them guidance on proper numerical ratings that would tie in with the old system.

GS-13 to 15 (45 and above)

- In my opinion, the new PAR system further complicated a cumbersome system which was meaningless to begin with, I don't believe a person can be properly evaluated by number and/or letter grades. My greatest fear in filling out PAR's etc. is what my peers are doing, will they give high ratings thus putting my employees at a disadvantage or will the reverse happen?

GS-13 to 15 (Age 35-44)

- I am outraged at what I consider the hypocrisy in trying to keep staff ratings in the 4-5 category as an indication of doing the job as expected and the ratings awarded to the SIS ranks. I consider it an obvious and flagrant double standard. The fact that inflated ratings are, in general, being

awarded to SIS ranks is proof that this system has been prostituted and means absolutely nothing. In fact, it is an insult. If Agency management expects people like me to take this kind of thing seriously and tear my guts out giving accurate and forthcoming ratings and narratives, then I expect that supergrades do the same.

- The Organization appraisal system is generally ineffective and the source of some discontent. Better not to have such a system and have promotion solely on time in grade, than depend upon a system as ineffective as now being used.
- I believe a major problem in the system falls at the office-level promotion panel comparative evaluations. Panel procedures have not changed with the new system. It is up to the panel, whose members may or may not personally know all the individuals they are ranking, to glean from the ratings and narrative portion of the PAR, all pertinent performance attributes. Using a worksheet of promotion criteria and weights, they take this extracted information and judge the performance of all the candidates for promotion. This tends to bias (positively or negatively) the ranking of individuals known personally by panel members and unfairly leaves the unknown individuals at the whims of how well their supervisors prepared their PAR.
- I am reluctant to apply the ratings in a manner consistent with their definitions. Why? Simply because I have no confidence that other supervisors will and I do not want to penalize my subordinates who are in competition with their peers. Until I am convinced that the highest levels of management are prepared to take a hard line on this matter of inflated ratings and make available the resources to put in an effective control system, I can't give out 4's "from my supervisor" as long as my peers performing at the same level are getting 6's. It's not a question of what I or my subordinates deserve. Rather it is a question of what we deserve relative to our peers.
- It is fairly obvious that a 5 for one rater may be a 6 for another. As far as I can see, there is no guarantee that this problem is taken into consideration by the appraisal panel. Thus, the true appraisal of an individual (with built in biases) is up to the personal familiarity of panel members with the person being appraised. This is the old boy network, which works fine if you are well liked, but is destructive if you are not.

GS-11 or 12 (Age 35-44)

- The name has changed, but the "game" remains the same! We must break away from our subjective approach to evaluating people. The competitive evaluation process will promote those that rate high in their eyes, not who may deserve it. I've set on them. I've seen it happen!

GS-11 or 12 (Age 25-34)

- The problem is and continues to be with the average rating, the new 4, the old P - why must we have one at all? What's wrong with an even number of rating options (4 or 6) so that a person is either above or below average not sitting on the fence and not really knowing where you stand.

- The biggest problem associated with both this and the old system is that a fair yet less than outstanding rating tends to place an employee behind many who are actually no more than his peers.

Suggestions

SIS (Age 45 and above)

- A rather radical departure, which might be tried on an experimental basis, would be to have at least one subordinate, chosen at random, rate each rating officer. I believe the subordinate's reaction to their supervisor definitely reflects the supervisor's skill in supervising and his effectiveness.

GS-13 to 15 (Age 45 and above)

- Supervisors should have their appraisals critiqued periodically (perhaps by OP).
- Your plan is good, your PA Handbook is good -- but now you have to promote its implementation with much more vigor.
- I believe the effectiveness of the PA could be enhanced by an additional section composed of questions keyed to subject's on the job performance on a daily basis. Examples: How does subject perform in a crisis situation? Can subject handle more than one crisis at a time? Subject's effectiveness in briefing superiors on evolving situations for which he is responsible? Does subject think on his feet? Is subject a problem solver?

GS-11 or 12 (Age 35-44)

- The system should not ever revert to one in which only these individuals with 6's down the line will be promoted. If an individual is doing a good job, is qualified and eligible then he should be promoted up to a certain level. (Maybe GS 13/14) Above that level he should have to demonstrate specific qualities above and beyond his normal duties in order to qualify for promotion to high level management positions within the Agency.

GS-9 or 10 (Age 35-44)

- "Seniority" is not a considered factor in our performance appraisal system. I feel that space should be provided to indicate whether an individual may have displayed a strong performance over, perhaps, many years and that this should be given some weight in the PAR.
- I feel that there should be standards set for the entire Agency instead of each directorate being separate.

GS-9 or 10 (Age 25-34)

- The rules and regulations should be such that supervisors should not be allowed to interpret, but to follow the rules strictly.

--It would be helpful for employees to be able to compare their performance with an "average" performance rating of those peers who are promoted by the Career Service panels.

--Penalties should be administered to those supervisors who do not turn in performance appraisals on time. Suggestions: Include the writing of performance appraisals on the rater's performance appraisal. Withhold effective date of promotions, periodic step increases.

GS-9 or 10 (Age 25 and under)

--Perhaps a comment in the narrative should be required stating the most noticeable strength and most noticeable weakness of the rated employee.

--Specific input should be asked for in part 4 (optional employee comments). Besides encouraging the rated employee to actively participate in his performance appraisal, the information obtained could be useful for ongoing indications of specific weaknesses of the PAR system.

--Ratings of specific duties are based on "established standards of performance." If these standards are merely "understood," there may be problems of variance between raters. There appears to be no requirement or instructions for establishing specific standards of performance.

GS-7 or 8 (Age 25-34)

--I think there should be a PAR only for clerical personnel (and a separate one for officers) since the scope and function of their respective jobs are totally different.

--The employee should be able to rate his supervisor also. It should be a two-way street.

GS-7 or 8 (Age 25 and under)

--Since grading is not standardized, each supervisor interpreting the regulations their own way, I feel that the PAR should not be used heavily for promotion and panel considerations. Personality and attitudes towards work should come into play also.

V. Evaluation Board/Panel Assessment of PAR

A. Survey Questions

Information was requested from 130 Career Service personnel evaluation boards and panels. The purpose was to obtain input from those directly involved in the use of the PAR for the comparative evaluation of Agency employees. Each person in charge of an evaluation board or panel was asked to provide answers as detailed as he or she believed necessary to three general issues. When possible their answers were to reflect the collective experience and views of the board or panel. The following information was requested:

a. Compare the new performance appraisal system with the former Fitness Report and describe the ways you feel one is better than the other in serving your needs. Please comment specifically about the usefulness and value of the Evaluation of Potential and the Advance Work Plan for your purposes. Also note any significant shortcomings of the present appraisal system as they effect your function.

b. Identify the information sources (e.g., Performance Appraisals, interviews with supervisors, soft files) you use in your evaluations and the approximate percentage each provides in affecting your decisions. Other than the performance appraisal material, what source has proven to be most valuable and why?

c. In your judgment would additional information on each employee be helpful toward improving the validity of the comparative evaluation process? If so, please describe the kinds of data you feel would be useful (do not concern yourself with the source but rather with the nature of the information).

B. Survey Results

1. Seventy-nine responses were received representing approximately 61 percent of the boards/panels surveyed. All but two of those responding identified their board or panel, and the response level by Career Service was DDA = 69%; DCI = 67%; NFAC = 53%; DDS&T = 47%. The DDO Career Service did not participate (it was verified that the two undesignated responses did not come from the DDO).

2. The responses was sorted, tallied, and analyzed with the following results:

a. PAR vs. FR

(1) PAR better than FR	13%
(2) PAR worse than FR	5%
(3) No difference	44%
(4) No specific comment.	38%

b. Evaluation of Potential

(1) Useful	20%
(2) Not useful*.	56%
(3) Mixed opinion	16%
(4) No specific comment.	8%

*e.g., not useful for GS-10 and below; misleading; should be eliminated; deals with hypothetical situations and unidentified positions; raises false hopes; adds very little information, may be counterproductive; panels do a better job of estimating potential; added element to an already burdened system; redundant; could be placed in the narrative; tends to play too large a role being separated from rest of PAR; contributes least to the ranking process; adds clutter-makes system procedural and bureaucratic; does not serve the employee who rotates frequently; many supervisors do not know how to judge potential; should be done at a higher level than first line supervisor.

c. Advance Work Plan

- | | | |
|-----|-------------------------------|-----|
| (1) | Useful | 26% |
| (2) | Not useful*. | 42% |
| (3) | Mixed opinion | 19% |
| (4) | No specific comment | 13% |

*e.g., not useful, should be eliminated; misused and misunderstood, seems to address duties not priorities or goals; added element of an already burdened system; should be optional; seems contrived; too much paperwork for people who move frequently; useful for SIS only; useful in theory but ineffective; only plays a minor role for panels; a burden and useless exercise, no more successful than LOI; too time-consuming, duplicates duties listed in PAR; mechanical exercise; should be used for remedial situation only; prefer LOI, it's not negotiable; should not be required each year, too much manpower used in writing them.

d. PAR Rating Scale

- | | | |
|-----|-----------------------------------|-----|
| (1) | Better than FR | 41% |
| (2) | Same (or worse) than FR | 18% |
| (3) | No specific comment | 41% |

e. PAR Format and Package

- | | | |
|-----|-------------------------------|-----|
| (1) | Satisfactory | 4% |
| (2) | Unsatisfactory*. | 45% |
| (3) | No specific comment | 51% |

*e.g., poorly designed, difficult to use; cumbersome; too long-prefer the old forms; more complex-messy; too complicated and involved; a typist's nightmare; too time-consuming; physically bulky; needs simplified-entirely too much material to deal with, signature locations are poor; use of carbons is wasteful.

f. Most Valuable Input Sources

- | | | |
|-----|--|-----|
| (1) | PAR. | 27% |
| (2) | Mixed (unspecified). | 21% |
| (3) | Personal knowledge | 19% |
| (4) | No specific comment. | 13% |
| (5) | Interviews of supervisors. | 12% |
| (6) | Comparative Evaluation Rating Form | 4% |
| (7) | Files (official and/or soft) | 4% |

g. Need for More Information

- | | | |
|-----|--------------|-----|
| (1) | No | 47% |
|-----|--------------|-----|

- (2) Yes* 28%
 (3) No specific comment 25%

*e.g., more information offered--from employees; additional oral input; data on initiative and other employee traits; work-sheet by higher level panel; improved files; employee self-assessment; information which does not have to be shown employee; supervisor's input on specific ranking criteria; improved files and training records; information on employee's leave record, security violations, etc, rating scorecard on supervisors; reliable personal statistics of individual employees that can be quickly retrieved through the computer.

C. Board/Panel Comments and Suggestions

Many of the boards and panels offered comments and suggestions about the performance appraisal system. No unanimity exists either within or among the panels as to actions which should be taken to improve the appraisal process. The following are selected excerpts taken from panel responses. They are offered as being illustrative of the diversity of attitudes Agency officials have on this subject:

- ten rating levels would be better.
- put common elements (e.g., cost consciousness, security consciousness, EEO, etc.) in a check type matrix on the PAR form.
- distribute rating statistics to Agency components, help managers see trends and be more consistent.
- it is difficult to evaluate people on the written record alone.
- question need to report items 1 through 12 of Section A. (deals with header information)
- require rater to weigh certain positive and negative traits.
- require the employee to evaluate the rater's evaluation.
- supervisors should be required to comment on evaluation factors used by panels in the PAR itself.
- a statistical method of making comparisons may be more equitable than a panel system.
- other characteristics in addition to potential should be evaluated.
- formal training is needed for supervisors.

- provide for the employee who is not interested in assuming more responsibility.
- recommend use of a short form for promotions, TDY, short reassignments and other types of interim periods.
- reduce 7 level system to 5 levels (eliminate #6 and #2).
- panels should be obliged to write a brief statement on each employee highlighting its judgment on the individual's value to the service and this should be tied back to the PAR.
- limit the number of words permitted in the PAR narrative.
- PAR should be more closely tied to comparative evaluation factors.
- It is unlikely any PAR system will approach the fairness, frankness, or solicitude necessary to do the job well.

VI. PAR Cost Effectiveness

A. Computer Generated PAR

When the new PAR system was implemented component personnel officers throughout the Agency were asked to request those responsible for handling and typing large numbers of PARs to observe, over an extended period, the time consumed in PAR preparation. The fact is that, by design, the identifying data for each employee's annual PAR (Section A) was computer generated to facilitate its preparation.

B. Comments of Personnel Officers

1. In responding, perhaps the word most frequently used by personnelists to describe the handling of the PAR was "cumbersome." The new system involves more pages than the former Fitness Report, and in addition interleaved carbons were found to be difficult to handle. The computer generated preparation of Part A was well received, but only when coupled with the suggestion that it be limited to the original copy. The other required copies should be reproduced from the original. Personnel officers also reported they had received many complaints from employees having difficulty in locating the required signature lines in the form.

2. With the greatly increased amount of paper, and the additional time which the many persons involved have to invest in the PAR's preparation, the new system costs more in time and money than the old. The bulk of the PAR package and the use of carbons simply nullified any cost benefits anticipated through the use of the computer.

VII. Review of Completed PARs

A. The PAR Sample and Review Objectives

The evaluation of the new PAR system included in its design a first-hand examination of a random sampling of nearly 10 percent of all incoming PARs received during the course of 1980. A total of [] PARs were examined focusing on: 1) the use of the employee comments section; 2) the use of the EOP section; and 3) the length of the narrative section (raters had been admonished in the PAR Handbook to limit their remarks, where possible, to the space provided). Other observations were noted by the reviewers but no tally was made. e.g., absence of required signatures, errors in the required period of coverage, failure to submit AWP, etc. Those reviewing the PARs anticipated that initially many minor problems or errors would be found characteristic of the start up of a new system. As a matter of routine the Office of Personnel inspects all performance appraisals to ensure they are properly signed, etc. for record purposes.

B. Results of the PAR Review

1. During the briefing sessions held at the time of the PAR's introduction, it became apparent that some supervisors believe that giving employees the option of commenting would serve, among other things, to encourage criticism and confrontation. Only four percent of the PARs reviewed (61 employees) utilized the comments section. Of that figure, 18 could be categorized as basically concurring with the supervisor's comments, 20 were in the nature of self appraisal (statements regarding the current job, plans for future assignments or training) and 23 were confrontational. At the present time only a small number of employees use this section and it is not a significant vehicle for confrontation between subordinates and their bosses.

2. Concern had been expressed that supervisors would refuse to commit themselves on the EOP part of the PAR, and would claim that "the assignment during the rating period did not offer (them) the opportunity to evaluate readiness to assume higher level responsibility. Employee is rendering a valuable contribution." Little more than 6 percent of the supervisors selected this option and a lesser number stated that the employee concerned lacked the capability of assuming higher level responsibility. The reviewers allowed for the possibility that many supervisor-subordinate relationships were new and that insufficient time had transpired to enable a fair evaluation to be made on this question. It was observed, however, that in some instances a supervisor remained unwilling to commit him or herself on an employee's potential after supervising the employee from four to eight years. It is difficult to understand why, given such lengths of time, a supervisor still feels unable to comment on a subordinate's potential for development when limited to the area for which the subordinate is being rated.

3. The PAR package was designed so that most raters would find they could limit their narrative comments to the space provided. The Performance Appraisal Handbook stressed this point because the now obsolete Fitness Report invariably required additional paper which the new system hoped to avoid. However, supervisors wrote comments well beyond the bounds of the space provided in more than 50 percent of the PARs reviewed.

VIII. PAR Rating Scale Statistics

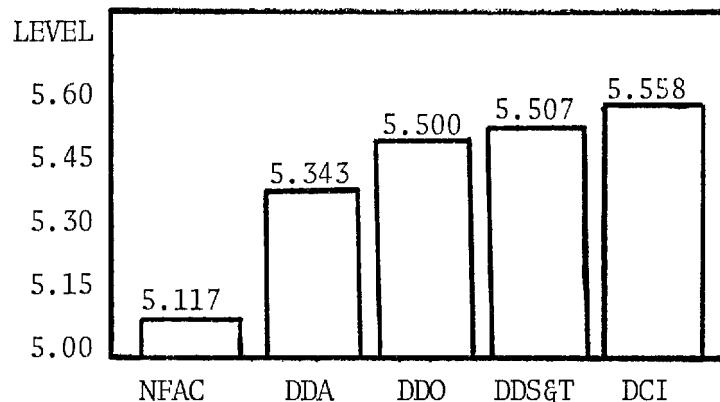
Employee rating levels under the new PAR system remain comparable to those of the Fitness Report. The average rating of a sample of [] PARs submitted in 1980 is 5.39. Statistically, there is no significant difference in the level of ratings under the two systems. (A statistical analysis comparing the rating levels of FY 1979 and FY 1980 supports this finding - see addendum). One of the main expectations held for the PAR was that a significant reduction would occur in the average employee performance rating level - this has not happened. There is evidence, however, that significant differences in PAR rating levels do exist among the Career Services. Table 3 shows this difference.

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TABLE 3

Career Service Average Rating Level

Performance Appraisal Report



The D Service average rating level ranks second or third among the Career Services (see Tables 3 and 4) but drops to fourth in Table 5 in grades GS-11 through SIS. It would appear that special effort has been made to lower ratings at these grade levels, but the evidence is not very strong.

Since rating levels are generally lower in NFAC than the other Career Services, the employee survey data was reprocessed to compare the attitudes of those in the "I" Service with those elsewhere in the Agency. Few meaningful differences were noted. Examples of some of the comparative responses are:

--New PAR is better than old Fitness Report.

"I" Service = 34% (agree)
Others = 41% (agree)

--Performance ratings are accurate.

"I" Service = 47% (agree)
Others = 50% (agree)

--Do you believe supervisors give higher ratings than deserved?

"I" Service = 42% (yes)
Others = 51% (yes)

--Do you believe supervisors give lower ratings than deserved?

"I" Service = 9% (yes)
Others = 14% (yes)

--Would you prefer a different performance evaluation system?

"I" Service = 26% (yes)
Others = 27% (yes)

The evidence as presented in the statistical analysis attached as an addendum to this report positively correlates rating level with grade, i.e., the higher one's grade the higher one's rating level. This grade-rating relationship also shows in occupational subcategories. The percentage of professional employees receiving a 4 or 5 level rating is lower than that of clericals, technical, and wage board employees; it is the highest of the four groups at the 6 and 7 rating levels. (See Table 6) The grade-rating relationship for employees at the GS-7 and 8 levels is higher and out of pattern when compared with the other grades. For three of the five Career Services the average rating level of GS-7 and GS-8 employees exceeds that found in grades 3 through 11. The explanation may be that at these grade levels certain occupations have nearly peaked e.g., secretaries (they represent 12 percent of the Agency population at these grade levels). The correlation of grade to rating level could still apply, i.e., the ratings of employees at the top grade level of a given occupational series are higher than those at the entry grade level.

TABLE 6

Occupational Sub-Category Rankings*

PAR Levels 4 through 7

RANK				
1	W (26%)	W (44%)	P (49%)	P (7%)
2	C (19%)	T (40%)	C (36%)	C (7%)
3	T (19%)	C (35%)	T (35%)	T (3%)
4	P (10%)	P (33%)	W (26%)	W (2%)
	4	5	6	7
	LEVEL			

25X1

NUMBER IN SAMPLE	
Prof.	
Cler.	
Tech.	
Wg.Bd.	

*Highest rating level ranks first

IX. Discussion and Conclusions

A. The PAR System - An Improvement?

1. It is patently clear that the new Agency PAR system, as currently used, is no better than its predecessor. Employee rating levels remain essentially the same; employee criticism of the performance appraisal process continues to be strong; and the PAR's utility for making personnel management decisions is still not fully satisfactory.

2. The results of this evaluation disclose that the new PAR system's introduction in the Agency was not very effective. For the most part supervisors were not primed sufficiently to handle the requirements of the new system. Although in some respects the differences from the old system were not significant, in fact a rather new concept was being introduced. It is difficult to determine whether the evaluation findings reflect mostly on the system or on the manner in which it is presently being applied. Since nearly half of the supervisors participating in the survey claim they have not received a formal briefing or workshop on the subject of the new PAR, it is understandable that problems exist in its use. Large numbers of supervisors had been briefed on the PAR system prior to its implementation in the Fall of 1979; apparently, this was inadequate. In making the transition from the old system to the new it appears that many supervisory employees made two major errors. They assumed first that the numerical rating scale of the PAR was directly related to the letter ratings of the old Fitness Report. Supervisors sought to determine what an "S" rating on the old system represented on the new. A deliberate effort was made by some managers to assist in this process.

They established conversion tables. Managers failed to perceive the need to disregard the old system entirely in arriving at rating decisions and to focus on the new. The PAR was to be a fresh start; employee ratings were to be determined through the application of a new tool, i.e., the AWP. The second major error occurred when many supervisors assumed that the AWP was a re-labeled Letter of Instruction (LOI), a form which has been discontinued. Again, they missed the point. The AWP, mutually arrived at by the supervisor and subordinate, is to contain performance standards to be used to identify the employee's performance appraisal ratings. The evidence is substantial that few supervisors used the AWP as intended.

3. The evaluation findings indicate that the EOP is not serving a meaningful function in the PAR program. Supervisors, in particular, find it of such limited value that they question the need for its continued use. Many employees agree that one's immediate supervisor is not always the best source for assessing an employee's potential. Higher echelon managers and/or panels are viewed as better prepared to make this determination. In addition, supervisors admit to experiencing some difficulty in making this assessment.

4. Perhaps one of the most frequently expressed concerns about the new PAR system is the form itself. The consensus is that it requires more of everyone's time to complete. It has been described as a secretary's "nightmare." Unquestionably, the AWP and the EOP have suffered to some extent because they represented an added burden to an already lengthened form. The use of carbons in the PAR proved to be a mistake. Photocopying has become so commonplace that many typists are unprepared to handle carbons, at least with any efficiency. Action should be taken before new PAR forms are ordered to simplify the format. Many complain and have problems in locating the signature lines in the form. This difficulty added to a sense of frustration which many employees experienced in completing the PAR.

B. Problems in Performance Appraisal

1. Traditionally, performance appraisal systems have been touted as the means to address and effect decisions on such matters as employee productivity, development, advancement and/or separation. The difficulty is that performance appraisals thought to be useful for more than one objective often are not. For example, an organization with a high ratio of superior employees would find it difficult to use this tool as a primary means of selecting individuals for advancement. The new PAR system was introduced in large part, because it was presumed that an appraisal system with newly defined rating levels would discriminate better among employees and make it a more useful tool for personnel evaluation boards and panels. Employees strongly agree that performance appraisals should be considered at the time promotion decisions are being made. This is understandable particularly in instances where the employees' appraisals are highly complimentary. When employees receive "complimentary" performance appraisals, they believe themselves to be competitively strong and naturally harbor increased expectations for advancement. However, employees have come also

to appreciate that a "strong" work performance record does not guarantee career advancement. The fact is that considerable variance exists among Agency personnel evaluation boards and panels both in the weight they give the PAR and in the nature and kinds of data they use in making their rankings.

2. Another factor which tends to complicate the performance appraisal process is the high frequency of employee reassignments. The movement of employees via reassignment within and among Agency components continues at a fairly high rate. As indicated previously, nearly two-thirds of those surveyed in this study have been in their job two years or less. Although employee transfers are a normal part of career development, frequent employee movement can serve to complicate the performance appraisal process, particularly where supervisors are involved. Employees are especially concerned with the fact that rating level "performance standards" are highly subjective and vary among supervisors, i.e., one supervisor may credit an employee with a "5" level rating whereas another would describe the same performance at the "6" level. Supervisory officials are responsible for establishing performance standards regardless of the amount of subordinate participation in their development. At the present time when supervisors are moved, the frame of reference (standards) for judging employee performance moves along with them. The credibility of the performance appraisal process suffers when these standards change frequently. In this regard, there is serious question in the minds of many employees that supervisors apply standards at all. As perceived by employees, the highly subjective manner in which supervisors assess the quality of a subordinate's work performance is by far the most serious element undermining their confidence in the system.

C. The Basic Question - What to do?

1. Fred C. Thayer in an article in Public Personnel Management Journal quotes from John Kenneth Galbraith's speech to the Foreign Service:

"I would urge your organization to look with concern on any administrative device that encourages obeisance and bootlicking rather than independent expression and behavior. I have in mind especially the efficiency report. This device.... accords to the superior in an organization far too much power over both the manners and thought of his subordinates.... Co-workers and subordinates often are in a far better position to judge a man's competence and his capacity for leadership than his boss."¹

¹Fred C. Thayer, "Civil Service Reform and Performance Appraisal: A Policy Disaster," Public Personnel Management Journal, VOL. 10, No. 1, 1981, P. 25.

This is but one of the sources Mr. Thayer quotes in presenting his thesis that "... performance appraisal systems do not and cannot possibly work."² He considers the renewed effort by the Federal Government to implement a performance appraisal system based on "merit" as impossible to achieve. The results of this study of the Agency's new PAR tends to support this view. The sad fact is that many Agency employees have given up hope for an equitable performance appraisal system. Remarks such as "Don't replace (the PAR); it will just result in something worse," or "By and large, no sophisticated employee or supervisor takes the appraisal system that seriously" reveal the cynicism of the individual employee on this subject.

2. Mr. Thayer says that from his own lengthy experience, he has found most employees believe their supervisors have no reasonable basis for evaluating their performance. He says "Since superiors cannot possess the requisite performance-based knowledge (for making employee evaluations) they have no alternative but to retreat to the use of person-based factors."³ From there Mr. Thayer says it is but a short step from person-based evaluation to "political" evaluation. He quotes from Victor A. Thompson's book a Modern Organization "... despite the attempted quantification with formal performance rating schemes.... The crucial questions are not merit and ability in the ordinary sense, but the compatibility and loyalty of the newcomers from the standpoint of the existing management team. Is he our kind?"⁴

25X1

3. The observation of Mr. Thompson's is akin to what Agency employees refer to as "the old boy network." Few employees seem comfortable with performance appraisal and from Mr. Thayer's perspective "... the periodic need to be evaluated from above and evaluate those below ... is an experience one attempts to conclude as quickly as possible in the hope it can then be forgotten. Every supervisor and every subordinate is scarred by each such experience."⁵ Should this, in fact, represent Agency employee attitudes toward performance appraisal its effectiveness as a program is seriously impaired. This study does establish that employees are, for the most part, interested in performance appraisal working as it is intended to work. They support the need for more training on the subject and recognize that certain improvements (e.g., objective performance standards) are difficult to achieve. The need to evaluate work performance remains and the challenge is to develop better and more acceptable ways of doing it.

X. Recommendations

1. It is important that changes to the system be made carefully, and with full appreciation of the fact that there is no panacea. Much work

²Ibid., P. 21

³Ibid., P. 21

⁴Ibid., P. 24

⁵Ibid., P. 26

is being done at the present time on the subject throughout the Federal Government and we should exercise some patience in hopes of sharing the insights and potential benefits which might be realized. We, of course, should continue to seek our own answers to our problems with the confidence that we will succeed in accomplishing our goals of increasing employee support for the Agency's performance appraisal program.

2. Certain actions should be taken in the meanwhile to strengthen the present system (which is still new) as study continues on the subject. The following is recommended:

- a. Modify and simplify the PAR format (eliminate the use of carbons);
- b. Discontinue the use of the EOP;
- c. Retain the AWP for record purposes in the component soft file not in the Official Personnel Folder;
- d. Increase the emphasis on performance appraisal skills in managerial training courses;
- e. Require supervisors to comply with dated 23 February 1981, which focuses attention on the need to develop explicit work performance standards at the "4" level of performance.

25X1

C O N F I D E N T I A L

Approved For Release 2005/08/02 : CIA-RDP89-01114R000300010001-2

ADDENDUM

Approved For Release 2005/08/02 : CIA-RDP89-01114R000300010001-2

C O N F I D E N T I A L

INVESTIGATION OF PERFORMANCE

APPRAISAL RATINGS

Purpose of Study. Although the new performance rating system is different in many respects relative to the previous system, one of the primary differences is the evaluation of performance on a seven (7) point continuum rather than on a five (5) point continuum. Further, the seven (7) point scale is based on numerical values ranging from one to seven; the five (5) point scale is based on verbal values ranging from "unsatisfactory" to "outstanding". Since the performance ratings (PR) for FY 1980 were obtained using the seven point scale, a comparison of the 1980 PR distribution with the 1979 PR distribution would emphasize the similarities or differences between the two rating scales.

A more general approach to comparing the two PR distributions is the use of analysis of variance. By means of analysis of variance it is possible to determine the effect of various factors on PR. For the purpose of this study, the effects of Grade, Directorate Career Service, and Sub-Category are selected for evaluation.

Determination of the effects of these factors on the PR distribution for FY 1980 relative to the effects of the same factors on the 1979 PR distribution indicates how the performance appraisal system has been affected by the introduction of new performance appraisal procedures such as the seven point scale. Thus, this second approach to the study of the performance appraisal system

allows for a more detailed understanding of performance evaluation. Not only is it possible to indicate whether the two PR distributions differ but further to know what factors contribute to the difference or non-difference. Hence, the factors which affect PR can suggest the underlying cause of the behavior in the PR distributions.

Comparison of Rating Distributions. In order to compare the 1980 ratings which are on a seven point scale with the FY 1979 ratings, it is necessary to transform the seven point scale to a five point scale. Recoding of the 1980 seven point scale is as follows:

Seven-Point Scale	Transformed Scale
1	1
2	2
3 & 4	3
5 & 6	4
7	5

This simple transformation doesn't have any serious affect on the overall shape of the distribution, but merely allows the weighted average ratings to be directly contrasted.

The mean or average rating for FY 1980 is 3.89 and the average for FY 1979 is 3.94. From Figure 1* the overall shape of the two distributions are essentially identical. The most distinct feature of Figure 1 is that the majority of employees (approx. 70%) are rated as a four on a five point scale.

*See Appendix for all Figures and Tables.

Chi-square tests confirm the major feature of Figure 1 (see Table I). From Table I it is apparent that the overall shape of the PR distributions are not significantly different. The only finding of significance in Table I is that the DCI career service has changed from 1979 to 1980. The change in the distributions shape is due to the shift in fewer employees being rated as fives in 1980.

Analysis of Covariance. From previous studies¹ it has been found that the position a person holds has a significant relationship to the performance rating. In our data files one of the most accessible variables to an employee's hierarchical positions within the Agency is the Grade at the time of the performance evaluation. Thus, the first question of interest is if there is a relationship between the PR and Grade. When the weighted average for each grade is plotted (see Figure 2), the average PR increases as a function of grade. The degree to which this association holds is moderately high ($r = 0.44$).

In relation to this association between PR and Grade, it is interesting to determine how the factors of career service^C and sub-category affect the PR. The computation of the average PR for each career service shows that the NFAC career service is lower on the whole than any of the other career services. Further, the DCI and DDO are on the whole rated slightly higher than any of the other career services. The analysis of covariance shows this affect

¹See Annual Review of Psychology (1979) for article on Recent Research on Personnel Selection & Evaluation.

quite clearly and shows that it holds for FY 1980 and FY 1979. Figure 3 shows the average PR for each grade plotted separately for the five career services. As can be seen, the effect of grade is very prevalent; however, the strict linear trend is complicated by the various career services. In other words, the rate of change in PR from grade to grade does not remain constant for the five career services as the analysis of covariance confirms.

The final factor to be discussed is the effect of sub-category on the PR. There are three sub-categories--clerical, technical and professional. When the average PR is computed for each category, it is found that professionals are rated slightly higher than clericals or technicals. However, it should be noted that the average grade for professionals is higher than clericals or technicals and the higher grade could be what is contributing to the higher PR. One method of controlling for the effect of grade is to determine the average PR for employees from grade 4 to grade 11. This restricted sample was investigated and the average PR for clericals and professionals are approximately equal; however, the average grade of professionals is grade 9, whereas clericals is grade 6. These results are counter to the PR and grade relationship which states that as grade increases the PR increases. This lack of a difference between the sub-categories is most likely due to the greater amount of experience for the clerical employees (e.g., senior secretaries). Thus, the effect of sub-category is not straight forward, as can be seen in Figure 4. The concomitant effects of grade and length of experience most likely have a significant interaction with sub-category. From the analysis of covariance,

as with the career service effect, the concomitant variable of grade interacts significantly with sub-category. Hence, the PR determined for each sub-category is dependent on the grade of the sub-category.

Implications of Results:

1. The first issue of concern is the comparability between the seven and five point scales. It is quite evident that increasing the range of the rating scale has had no significant effect on the shape of the PR distribution (see Figure 1 and Table I).
2. The factors of grade, job-category, and directorate career service have a significant relationship to the average PR. The exact relationship between grade and PR is predominantly linear and its effect is quite strong given that it is present in all career services and sub-categories (see Figures 2, 3, and 4 and the ANOVA results). The exact relation of PR to the other two variables isn't as easy to determine. The primary reason is that grade is such a powerful effect and its relation with PR changes very subtly between career services and sub-categories. However, it is possible to say that on the average certain career services are rated higher and that certain sub-categories are rated higher.
3. The main implication of all these results is that employees are not rated only on their past performance; rather, the grade, sub-category and career service play important parts in determining their PR. These findings are very interesting in light of that fact that the new evaluation system has an advanced

work plan and that performance ratings should be relative to the advanced work plan.

4. The final implication is that since employees are being rated based on the same factors (e.g., grade, career service, etc.), the overall shape of the distribution has not changed from FY 1979 to FY 1980. Further, the entire rating scale is not used because the factors of grade and career service have such a significant effect on PR. Thus, the entire range of the rating scale will never be used until the correlation of PR with other variables is reduced.

C O N F I D E N T I A L

Approved For Release 2005/08/02 : CIA-RDP89-01114R000300010001-2

APPENDIX

Approved For Release 2005/08/02 : CIA-RDP89-01114R000300010001-2

C O N F I D E N T I A L

TABLE I

CONTINGENCY TABLE WHICH CONTRASTS
THE PERFORMANCE RATINGS FOR
FY 1980 AND FY 1979

AGENCY	<u>Ratings</u> Percent Occurrence					Chi-Square
	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	
1980	0.0	0.2	16.7	76.8	6.3	3.13
1979	0.1	0.2	17.6	70.5	11.6	
DDO						
1980	0.0	0.1	10.8	82.5	6.5	7.31
1979	0.0	0.1	8.0	75.7	16.1	
DCI						
1980	0.2	0.2	9.7	75.7	14.3	12.78*
1979	0.1	0.2	9.2	60.0	30.5	
NFAC						
1980	0.0	0.4	26.7	68.0	5.0	4.67
1979	0.0	0.3	34.9	57.6	7.5	
DDA						
1980	0.0	0.1	17.4	77.5	5.0	3.85
1979	0.1	0.2	16.4	72.3	11.0	
DDS&T						
1980	0.1	0.2	13.5	78.4	7.9	1.69
1979	0.1	0.3	18.0	72.7	8.8	

*At $p < .05$ $\chi^2_r = 9.4877$

FIG. 4 PERFORMANCE RATING V. GRADE
BY CLERICAL TECHNICAL AND PROFESSIONAL

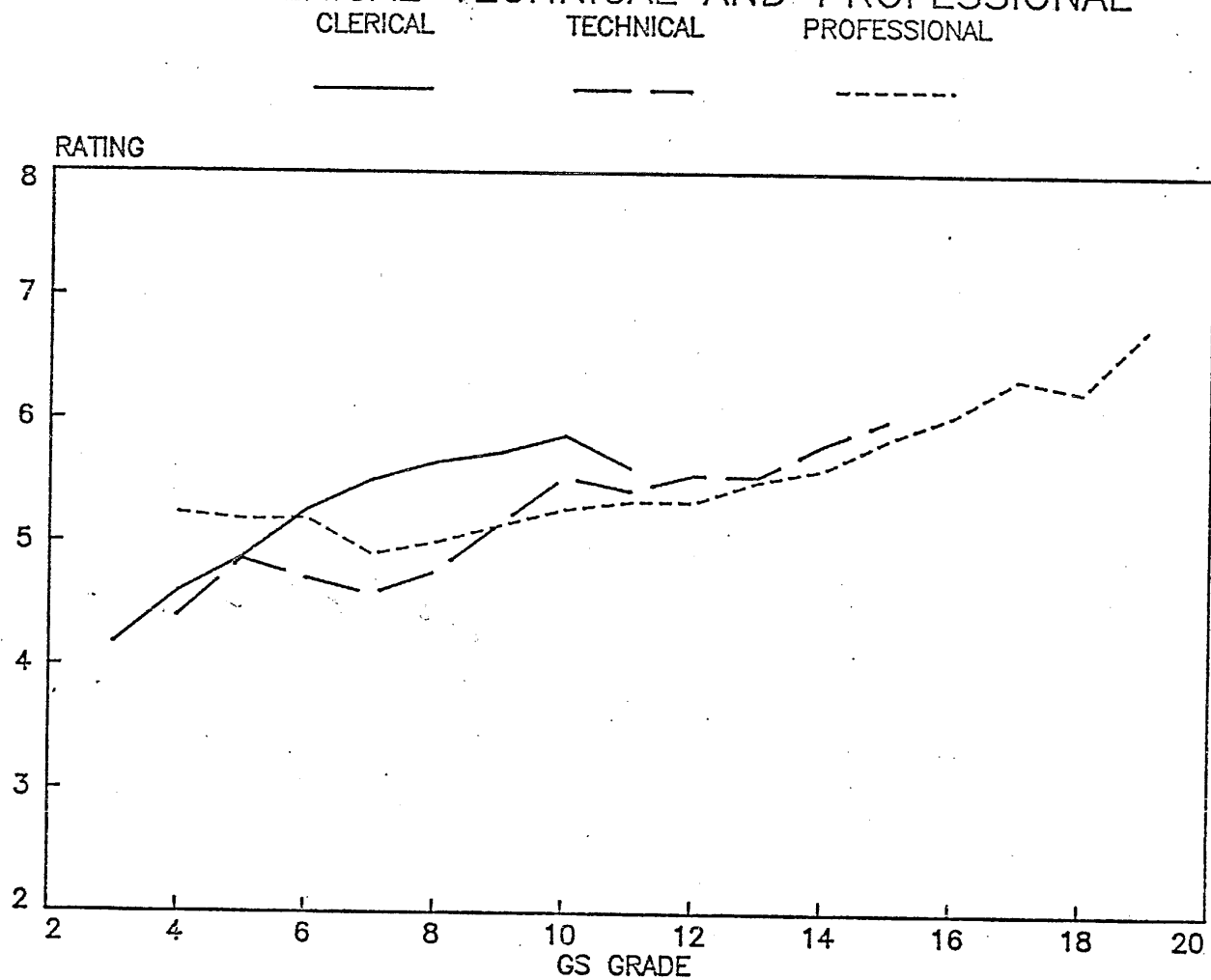


FIG. 3 PERFORMANCE RATING V. GRADE
BY CAREER SERVICE

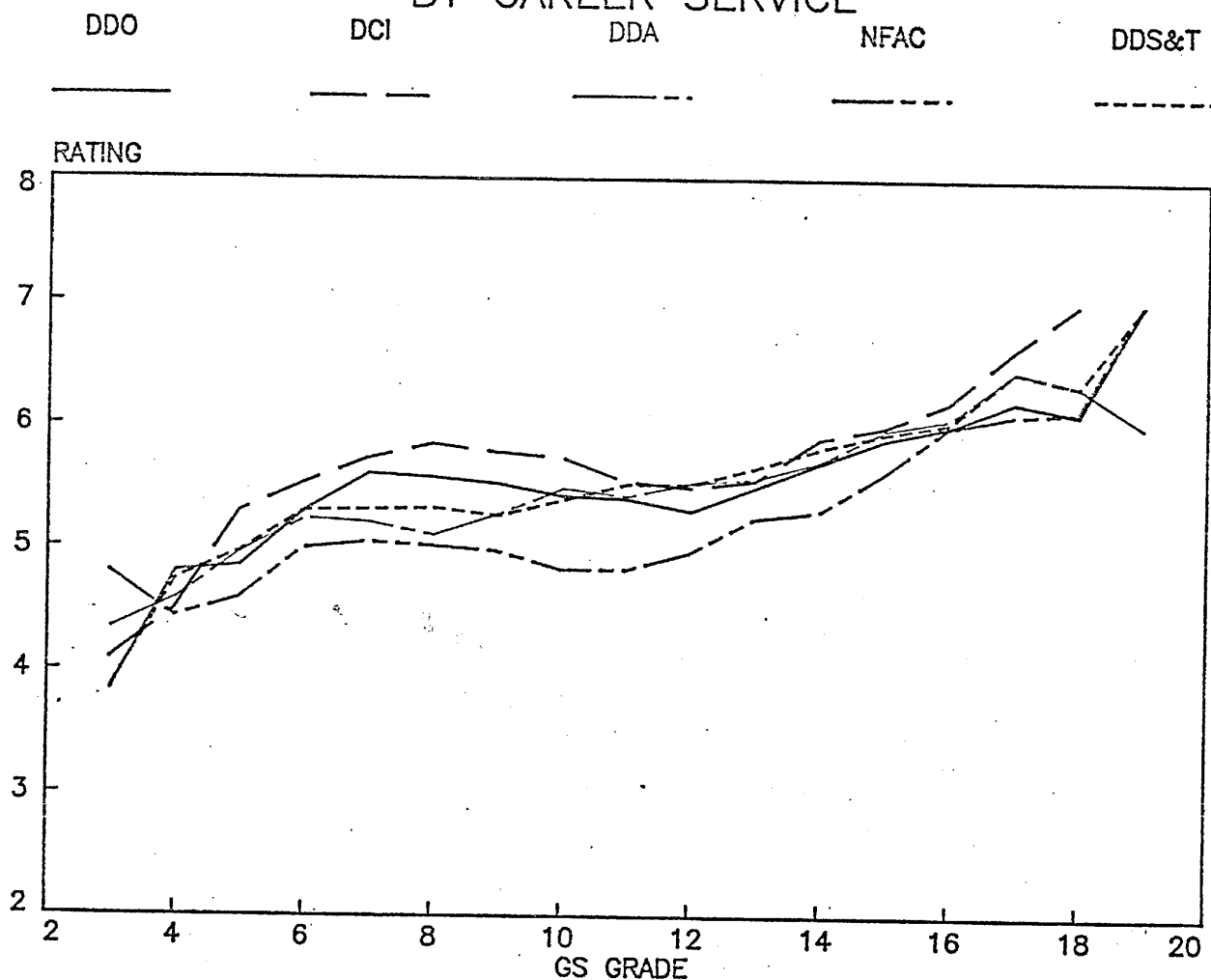


FIG. 2
PERFORMANCE RATING V. GRADE

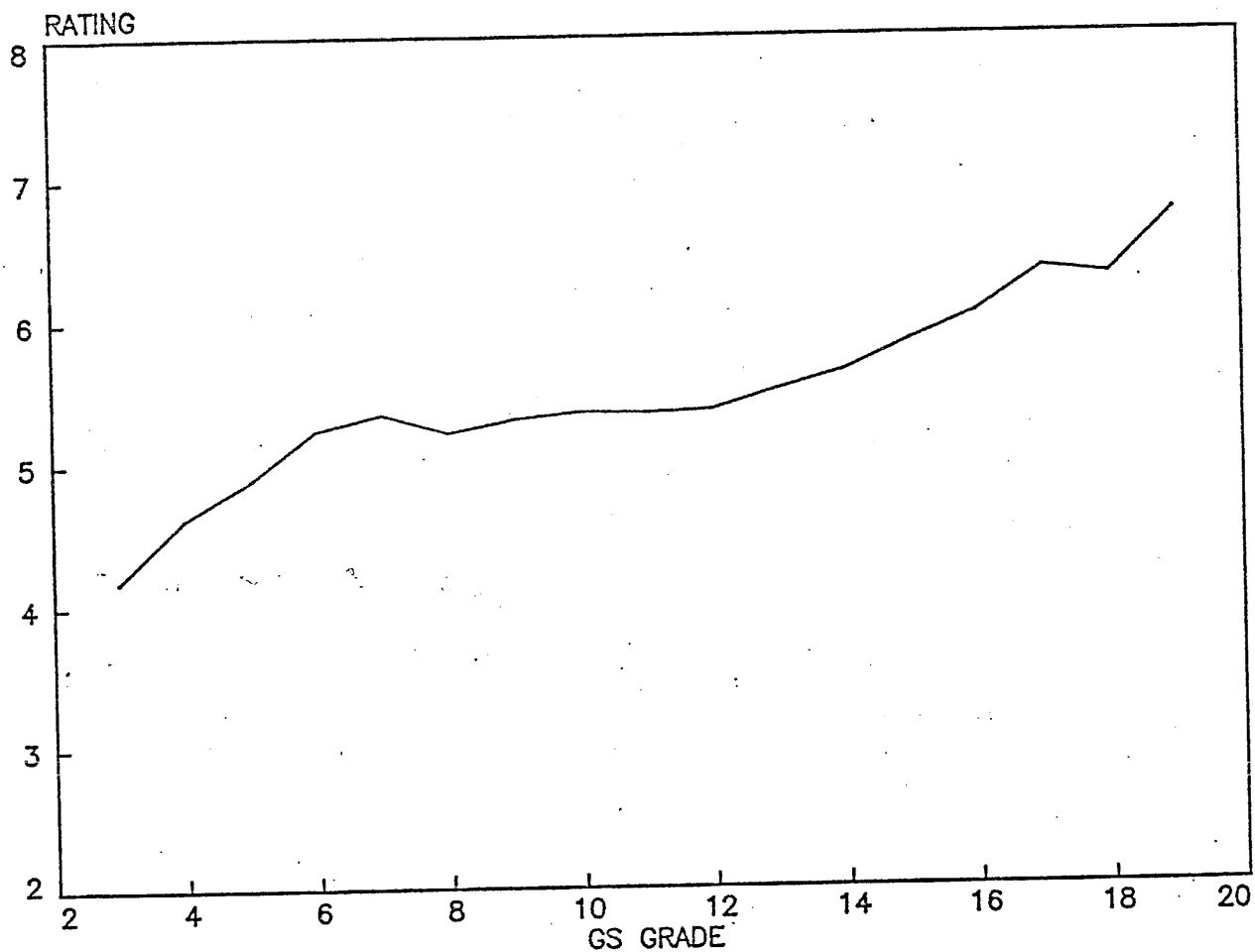
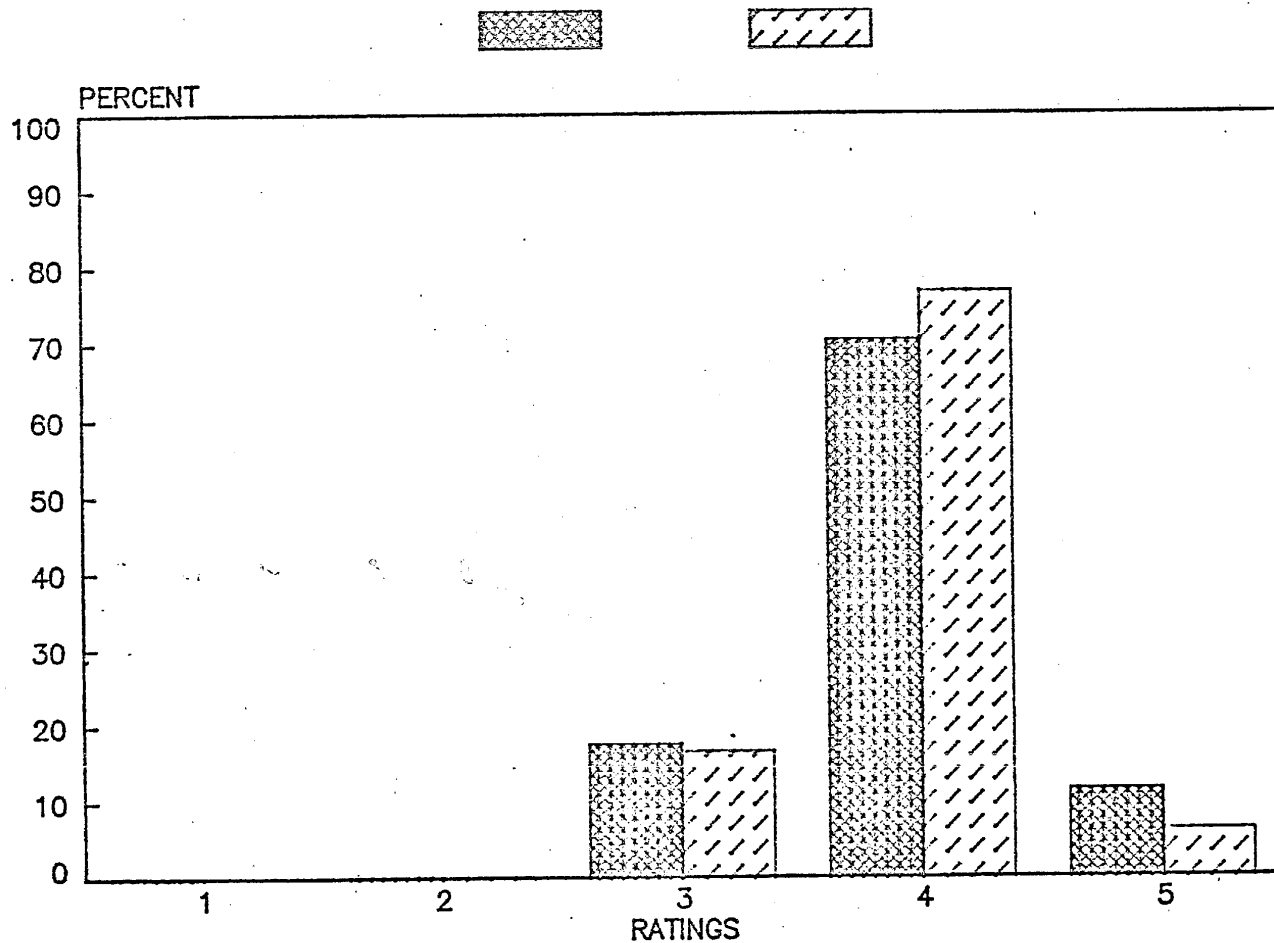


FIG. 1 PERFORMANCE RATING FREQUENCY
BY FISCAL YEAR

79

80



ANALYSIS OF COVARIANCE
PERFORMANCE RATINGS OBTAINED IN FY 1980
ANALYSIS PERFORMED ON ENTIRE POPULATION
1=CAREER SERVICE AND JOBCAT=SUB-CATEGORY

GENERAL LINEAR MODELS PROCEDURE

CLASS LEVEL INFORMATION

CLASS	LEVELS	VALUES
DEI	5	D E I M R
JOBCAT	3	C P T

25X1
NUMBER OF OBSERVATIONS IN DATA SET =

ANALYSIS OF COVARIANCE
PERFORMANCE RATINGS OBTAINED IN FY 1980
ANALYSIS PERFORMED ON ENTIRE POPULATION
SD1=CAREER SERVICE AND JOBCAT=SUB-CATEGORY

GENERAL LINEAR MODELS PROCEDURE

DEPENDENT VARIABLE: RATING
FREQUENCY: COUNT

SOURCE	DF	SUM OF SQUARES	MEAN SQUARE	F VALUE
MODEL 25X1	28	2178.58171679	77.80648989	120.58
25X1 ERROR			0.64528057	PR > F
CORRECTED TOTAL				0.0001

R-SQUARE	C.V.	STD DEV	RATING MEAN
0.168311	14.9510	0.80329358	5.37284586

SOURCE	DF	TYPE I SS	F VALUE	PR > F
GRADE	1	1128.55638720	1748.94	0.0001
SD1	4	415.99176241	161.17	0.0001
JOBCAT	2	417.72492085	323.68	0.0001
SD1*JOBCAT	8	36.14930050	7.00	0.0001
GRADE(SD1)	4	15.69240888	6.08	0.0001
GRADE(JOBCAT)	2	142.56124687	110.46	0.0001
GRADE(SD1*JOBCAT)	7	21.90569009	4.85	0.0001

SOURCE	DF	TYPE IV SS	F VALUE	PR > F
GRADE	1*	292.14249753	452.74	0.0001
SD1	4*	9.20347800	3.57	0.0065
JOBCAT	2*	25.99753495	20.14	0.0001
SD1*JOBCAT	7	16.67660810	3.69	0.0006
GRADE(SD1)	4*	9.06072948	3.51	0.0072
GRADE(JOBCAT)	2*	140.72269023	109.04	0.0001

ANALYSIS OF COVARIANCE
PERFORMANCE RATINGS OBTAINED IN FY 1980
ANALYSIS PERFORMED ON ENTIRE POPULATION
SD1=CAREER SERVICE AND JOBCAT=SUB-CATEGORY

GENERAL LINEAR MODELS PROCEDURE

DEPENDENT VARIABLE: RATING

SOURCE	DF	TYPE IV SS	F VALUE	PR > F
GRADE(SD1*JOBCAT)	7	21.90569009	4.85	0.0001

* NOTE: OTHER TYPE IV TESTABLE HYPOTHESES EXIST WHICH MAY YIELD DIFFERENT SS.

ANALYSIS OF COVARIANCE
PERFORMANCE RATINGS OBTAINED IN FY 1980
ANALYSIS PERFORMED ON ENTIRE POPULATION
S 1=CAREER SERVICE AND JOBCAT=SUB-CATEGORY

GENERAL LINEAR MODELS PROCEDURE

MEANS

SD1	N	RATING	GRADE
25X1		5.48111190	10.2675220
E		5.68019481	9.8344156
I		5.09705882	10.4810458
M		5.34984905	9.5771621
R		5.47559449	10.2678348

JOBCAT	N	RATING	GRADE
25X1		5.23227247	6.1993300
P		5.48206438	12.3034236
T		5.17117117	9.2619048

SD1	JOBCAT	N	RATING	GRADE
25X1	C		5.35234899	6.3174497
D	P		5.55617768	12.4990668
D	T		5.25000000	7.9500000
E	C		5.63666667	7.0533333
E	P		5.72698413	12.4952381
E	T		4.00000000	6.0000000
I	C		4.97835991	6.1571754
I	P		5.15708275	12.2940626
I	T		4.53488372	8.5813953
F	C		5.15635005	6.0528282
F	P		5.57482463	12.2786438
M	T		5.16960537	9.3022670
R	C		5.31046931	6.0541516
R	P		5.56903164	12.0632790
R	T		5.26881720	9.3942652

ANALYSIS OF COVARIANCE
PERFORMANCE RATINGS OBTAINED IN FY 1980
ANALYSIS PERFORMED ON GRADES 4 THRU 11

GENERAL LINEAR MODELS PROCEDURE

CLASS LEVEL INFORMATION

CLASS	LEVELS	VALUES
D1	5	D E I M R
JOB CAT	3	C P T

NUMBER OF OBSERVATIONS IN DATA SET =

ANALYSIS OF COVARIANCE
 PERFORMANCE RATINGS OBTAINED IN FY 1980
 ANALYSIS PERFORMED ON GRADES 4 THRU 11

GENERAL LINEAR MODELS PROCEDURE

DEPENDENT VARIABLE: RATING
 FREQUENCY: COUNT

SOURCE	DF	SUM OF SQUARES	MEAN SQUARE	F VALUE
MODEL	28	1052.81070016	37.60038215	52.90
25X1 ERROR			0.71075247	PR > F
CORRECTED TOTAL				0.0001

SOURCE	C.V.	STD DEV	RATING MEAN
131466	16.1472	0.84306137	5.22109017

SOURCE	DF	TYPE I SS	F VALUE	PR > F
GRADE	1	218.29872224	307.14	0.0001
SD1	4	307.33017904	108.10	0.0001
JOB CAT	2	341.24903023	240.06	0.0001
SD1*JOB CAT	8	29.26195768	5.15	0.0001
GRADE(SD1)	4	5.40232121	1.90	0.1074
GRADE(JOB CAT)	2	130.05245528	91.49	0.0001
GRADE(SD1*JOB CAT)	7	21.21603448	4.26	0.0001

SOURCE	DF	TYPE IV SS	F VALUE	PR > F
GRADE	1*	132.03609804	185.77	0.0001
SD1	4*	18.34055497	6.45	0.0001
JOB CAT	2*	50.88155012	35.79	0.0001
SD1*JOB CAT	7	15.00959890	3.02	0.0038
GRADE(SD1)	4*	18.78118963	6.61	0.0001
GRADE(JOB CAT)	2*	131.68848223	92.64	0.0001
GRADE(SD1*JOB CAT)	7	21.21603448	4.26	0.0001

CONFIDENTIAL

ANALYSIS OF COVARIANCE
PERFORMANCE RATINGS OBTAINED IN FY 1980
ANALYSIS PERFORMED ON GRADES 4 THRU 11

GENERAL LINEAR MODELS PROCEDURE

DEPENDENT VARIABLE: RATING

NOTE: OTHER TYPE IV TESTABLE HYPOTHESES EXIST WHICH MAY YIELD DIFFERENT SS.

CONFIDENTIAL

ANALYSIS OF COVARIANCE
PERFORMANCE RATINGS OBTAINED IN FY 1980
ANALYSIS PERFORMED ON GRADES 4 THRU 11

GENERAL LINEAR MODELS PROCEDURE

ANS

D1	N	RATING	GRADE
25X1		5.37114726	7.55821918
		5.63076923	7.76666667
		4.88539043	7.62090680
		5.19336721	7.75314255
		5.29284904	7.84052213

JBCAT	N	RATING	GRADE
25X1		5.24782609	6.25066163
		5.21864023	9.61538462
		5.12500000	8.90804598

S1	JCBCAT	N	RATING	GRADE
25X1	C		5.36517615	6.35027100
	P		5.39003645	9.72660996
	T		5.18918919	7.51351351
	C		5.66666667	7.13605442
	P		5.53684211	9.73684211
	T		4.00000000	6.00000000
	C		4.97938144	6.17525773
	P		4.78454681	9.44130758
	T		4.54761905	8.50000000
	C		5.17422174	6.12670672
	P		5.33775633	9.72979493
	T		5.11492122	8.99443930
	C		5.33700980	6.11029412
	P		5.24964937	9.50210379
	T		5.27038627	8.81545064

C O N F I D E N T I A L

ANALYSIS OF COVARIANCE
 PERFORMANCE RATINGS OBTAINED IN FY 1979
 ANALYSIS PERFORMED ON ENTIRE POPULATION

GENERAL LINEAR MODELS PROCEDURE

CLASS LEVEL INFORMATION

CLASS	LEVELS	VALUES
1	5	D E I M R
OBCAT	3	C P T

25X1 NUMBER OF OBSERVATIONS IN DATA SET =

C O N F I D E N T I A L

ANALYSIS OF COVARIANCE
PERFORMANCE RATINGS OBTAINED IN FY 1979
ANALYSIS PERFORMED ON ENTIRE POPULATION

GENERAL LINEAR MODELS PROCEDURE

DEPENDENT VARIABLE: RATING
FREQUENCY: COUNT

SOURCE	DF	SUM OF SQUARES	MEAN SQUARE	F VALUE
DEL 25X1	27	888.66182815	32.91340104	131.83
25X1			0.24966598	PR > F
CORRECTED TOTAL				0.0001

SOURCE	C.V.	STD DEV	RATING MEAN
159576	12.6768	0.49966587	3.94156813

SOURCE	DF	TYPE I SS	F VALUE	PR > F
GRADE	1	290.70589291	1164.38	0.0001
SD1	4	296.14830547	296.54	0.0001
JCBCAT	2	156.68820062	313.80	0.0001
SD1*JCBCAT	7	22.89256944	13.10	0.0001
GRADE(SD1)	4	43.03138846	43.09	0.0001
GRADE(JCBCAT)	2	65.10692709	130.39	0.0001
GRADE(SD1*JCBCAT)	7	14.08854417	8.06	0.0001

SOURCE	DF	TYPE IV SS	F VALUE	PR > F
GRADE	1	122.45865531	490.49	0.0001
SD1	4*	6.45925526	6.47	0.0001
JCBCAT	2*	8.21663624	16.46	0.0001
SD1*JCBCAT	7	20.88005592	11.95	0.0001
GRADE(SD1)	4*	2.99180061	3.00	0.0175
GRADE(JCBCAT)	2*	55.85266416	111.85	0.0001
GRADE(SD1*JCBCAT)	7	14.08854417	8.06	0.0001

ANALYSIS OF COVARIANCE
PERFORMANCE RATINGS OBTAINED IN FY 1979
ANALYSIS PERFORMED ON ENTIRE POPULATION

GENERAL LINEAR MODELS PROCEDURE

DEPENDENT VARIABLE: RATING

NOTE: OTHER TYPE IV TESTABLE HYPOTHESES EXIST WHICH MAY YIELD DIFFERENT SS.

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ANALYSIS OF COVARIANCE
PERFORMANCE RATINGS OBTAINED IN FY 1979
ANALYSIS PERFORMED ON ENTIRE POPULATION

GENERAL LINEAR MODELS PROCEDURE

FANS

JD1	N	RATING	GRADE
25X1		4.07790602	10.4311624
		4.21467391	10.2880435
		3.72108844	10.6744412
		3.94909910	9.6692192
		3.90701340	10.6167586

BCAT	N	RATING	GRADE
25X1		3.87952023	6.1976369
		3.98168790	12.3911005
		3.88481953	9.2760085

JD1	JOB CAT	N	RATING	GRADE
25X1	C		4.04093919	6.4370861
	P		4.10063694	12.5831210
	T		3.88235294	8.0196078
	C		4.22751323	7.2063492
	P		4.20111732	13.5418994
	C		3.65830346	6.0979689
	P		3.75033921	12.4486658
	T		3.41025641	8.3076923
	C		3.82056164	6.0128510
	P		4.04745334	12.2900981
	T		3.91988555	9.2381974
	C		3.84837093	6.0513784
	P		3.93991581	12.1549943
	T		3.80808081	9.6666667

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ANALYSIS PERFORMED ON GRADES 4 THRU 11

GENERAL LINEAR MODELS PROCEDURE

CLASS LEVEL INFORMATION

CLASS	LEVELS	VALUES
DEI	5	D E I M R
BCAT	3	C P T

NUMBER OF OBSERVATIONS IN DATA SET = 10156

ANALYSIS PERFORMED ON GRADES 4 THRU 11

GENERAL LINEAR MODELS PROCEDURE

DEPENDENT VARIABLE: RATING
FREQUENCY: COUNT

SOURCE	DF	SUM OF SQUARES	MEAN SQUARE	F VALUE
MODEL	27	551.89642168	20.44060821	73.82
ERROR			0.27690896	PR > F
CORRECTED TOTAL				0.0001

R-SQUARE	C.V.	STD DEV	RATING MEAN
0.164430	13.5770	0.52622140	3.87583694

SOURCE	DF	TYPE I SS	F VALUE	PR > F
GRADE	1	102.68840668	370.84	0.0001
SD1	4	218.61767305	197.37	0.0001
JOBCAT	2	169.71623064	306.45	0.0001
SD1*JOBCAT	7	24.15573428	12.46	0.0001
GRADE(SD1)	4	3.61574273	3.26	0.0110
GRADE(JOBCAT)	2	17.49409483	31.59	0.0001
GRADE(SD1*JOBCAT)	7	15.60853947	8.05	0.0001

SOURCE	DF	TYPE IV SS	F VALUE	PR > F
GRADE	1	52.33740117	189.01	0.0001
SD1	4*	6.46254373	5.83	0.0001
JOBCAT	2*	2.36998491	4.28	0.0139
SD1*JOBCAT	7	12.42917379	6.41	0.0001
GRADE(SD1)	4*	2.94118152	2.66	0.0312
GRADE(JOBCAT)	2*	22.33827007	40.34	0.0001
GRADE(SD1*JOBCAT)	7	15.60853947	8.05	0.0001

NOTE: OTHER TYPE IV TESTABLE HYPOTHESES EXIST WHICH MAY YIELD DIFFERENT SS.

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ANALYSIS PERFORMED ON GRADES 4 THRU 11

GENERAL LINEAR MODELS PROCEDURE

RESULTS

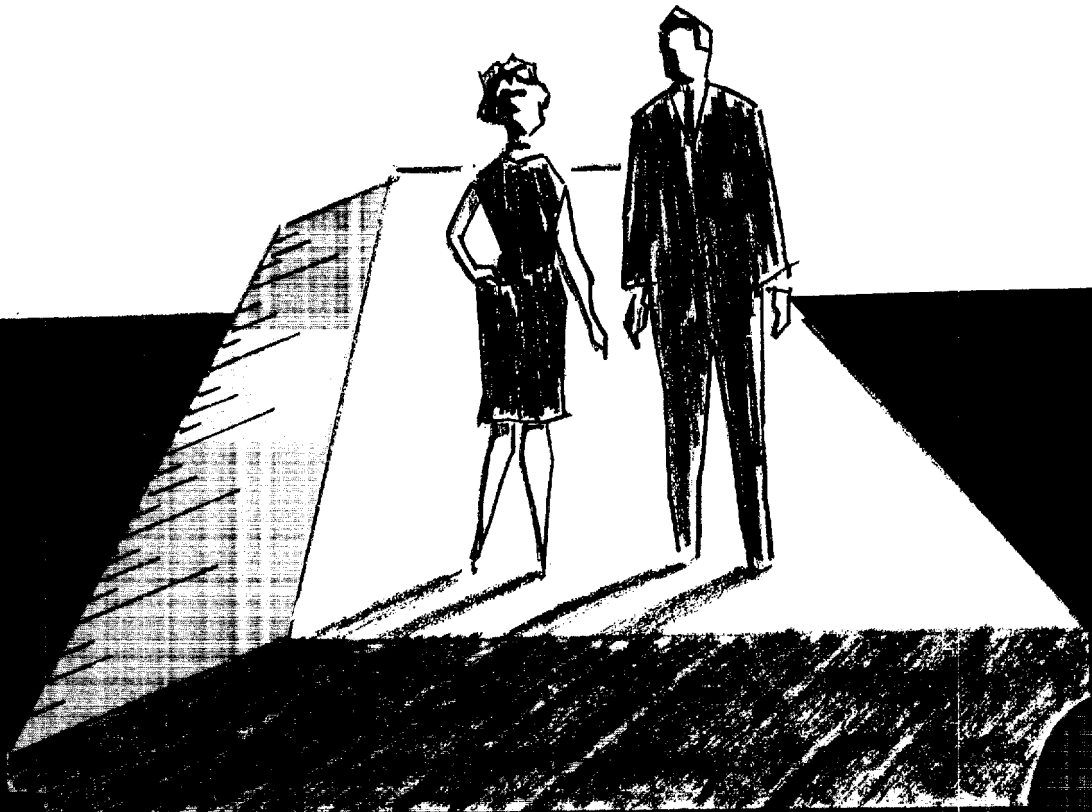
SD1	N	RATING	GRADE
25X1	<div></div>	4.04260263	7.59992254
		4.17351598	7.52511416
		3.58642857	7.58428571
		3.87911302	7.75846447
		3.81658149	7.98580352

JOB CAT	N	RATING	GRADE
25X1	<div></div>	3.89160584	6.25456204
		3.85222001	9.77170311
		3.86670688	8.88118215

SD1	JOB CAT	N	RATING	GRADE
25X1	C	<div></div>	4.04672330	6.45873786
	P		4.04622322	9.71815107
	T		3.82978723	7.63829787
	C		4.22751323	7.20634921
	P		3.83333333	9.53333333
	C		3.67073171	6.15121951
	P		3.46961326	9.71270718
	T		3.43243243	8.10810811
	C		3.83529412	6.03852941
	P		3.94915254	9.89039548
	T		3.90070922	8.94011032
	C		3.86206897	6.10983397
	P	3.77860327	9.74442793	
	T	3.78360656	8.92131148	

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Performance Appraisal Handbook



PERFORMANCE APPRAISAL HANDBOOK

Revised July 1982

PERFORMANCE APPRAISAL HANDBOOK

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POLICY

A properly administered performance appraisal program requires continuing communication and understanding between supervisors and subordinates. During the course of the reporting period covered by the evaluation, supervisors should have frequent work-related conversations with subordinates to offer guidance on and to discuss the status of their job performance.

Supervisors are required to ensure that their subordinates have Advance Work Plans (AWPs) and that performance appraisals are prepared at least once a year. The Performance Appraisal Report (PAR), Form 45, and the AWP, Form 45w, are used for this purpose. Both the PAR and AWP are to be signed by the employee certifying that he or she has seen them and discussed them with his or her supervisor.

A PAR and AWP will be completed on all employees except reemployed annuitants serving on a time-limited basis. (Refer to Personnel Evaluation, for further details on performance appraisal policy.)

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Submission

The original copy of the PAR will be forwarded to the Office of Personnel through the Head of the Career Service concerned or designee, with one copy to be retained by the Career Service. The AWP for the period covered by the appraisal will be retained in the employee's component soft file.

SCHEDULE FOR SUBMISSION OF ANNUAL REPORTS

Grade	End of Reporting Period	Due in Office of Personnel
GS-01- -05	31 March	30 April
GS-06	31 January	28 February
GS-07 and -08	31 December	31 January
GS-09 and -10	30 September	31 October
GS-11	31 August	30 September
GS-12	31 July	31 August
GS-13	30 June	31 July
GS-14	30 April	31 May
GS-15 and above	31 January	28 February
SIS	30 September	31 October

A PAR will be prepared annually for each employee, except when a report has been submitted for some other reason (e.g., reassignment) during the 90 days preceding the end of the reporting period. An annual report may be deferred until the employee has been under the supervisor's jurisdiction for 90 days. Supervisors will prepare a PAR for each employee 12 months, 21 months, and 33 months after the employee's entrance on duty.

Enforcement

Reviewing officials will return incomplete or inconsistent reports to rating officers for corrective action before signing the report. The reviewer's signature certifies that the report meets all the requirements of the performance appraisal system.

Career Services are responsible for monitoring the performance appraisal system to ensure that its principles are adhered to. As a minimum this includes ensuring completeness, consistency, and the timely submission of PARs; the regular preparation of AWP's; and the training of new supervisors.

Employee Comments

Employees at their option may attach comments to the PAR at the time of its submission. They are free to express themselves regarding their supervisor's evaluation or any other part of their performance appraisal. Should employees believe they have a problem with their PAR they should try to resolve it at the rater or reviewer level. It is hoped that most areas of concern can be resolved informally. Employees may also appeal their performance appraisals in accordance with the provisions of ☐ Grievance Systems.

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PREPARING THE PERFORMANCE APPRAISAL REPORT (PAR)

For specific instructions on each section of the PAR, rating and reviewing officers should refer to Form 45i, which is shown in Appendix A. The following points are provided as further guidance.

General

- There should be no surprises for the employee in the PAR. The rater must keep the employee informed throughout the year on what is expected and how well expectations are being met.
- When key job elements and performance standards are acknowledged in the AWP they must be addressed and evaluated in the PAR.

Supervisor's Comments

- The first sentence of the narrative in reports on employees in the three-year trial period must recommend for or against continuation of employment.
- The narrative portion of the PAR is a record of how well the individual performs in the job, not a restatement of his or her duties or functions in the office.
- Comments on behavioral traits and personality characteristics are appropriate only if they directly affect, either positively or negatively, the individual's job performance.
- Specific comments on required factors should be limited to those which are either deficient or unusually proficient.
- The performance appraisal refers to the entire rating period. Recent successes and failures should be considered in the context of total performance during the period covered.
- Comments should be to the point and limited to the space provided whenever possible.

Overall Rating

- Do not average the performance ratings. Some duties are more important, others less. Some aspects of performance are not addressed in the individual ratings of key job elements.
- The overall rating should support the picture of the employee's job performance reflected in the narrative.
- The overall rating should consider all aspects of the employee's performance in proper perspective and represent the level of the individual's *total* contribution.

Employee Comments

- Employee comments are optional.
- An employee who disagrees with the PAR may suffer an emotional reaction which could be reflected in hastily-prepared comments. Raters should ensure that employees fully recognize that written comments become a permanent part of the official record and therefore, should give employees adequate time to prepare their comments carefully.

Reviewing Official Comments

- The reviewer should be satisfied that the rater has covered all required points and that the ratings on key job elements, the overall rating, and the comments in the narrative are consistent. Deficient or incomplete reports must be returned to the rater for corrective action *before* the reviewing official signs the report.
- The reviewer should provide substantive comment on the employee's performance whenever possible. If the reviewer has no first-hand knowledge of the employee's work, the comments should indicate that the reviewer's comments are based on another source of input, e.g., information from the rater, perceptions of customers who deal with the employee, etc. "I concur" is unacceptable.

PREPARING THE ADVANCE WORK PLAN (AWP)

The AWP is a record of an understanding reached between supervisor and subordinate on the job to be done and the job performance expected during the report period. It summarizes the key job elements and performance standards on which the employee will be rated in the PAR. While these may not represent the entire range of the individual's work activity, they are the most important duties and responsibilities and indicate to the employee where effort must be concentrated. The AWP is to be completed or at least reverified annually. It may be revised or amended during the course of the year to record any significant changes in the employee's duties and responsibilities or to identify special projects, etc., to be accomplished during the remainder of the report period. It does not have to be lengthy; in fact, every effort should be made to keep it brief and to the point.

The AWP will be attached to a copy of the completed PAR and retained in the employee's component soft file. A new AWP will then be prepared for the coming year.

Employees should be directly involved, to the extent possible, in the development of the AWP. Obviously new employees with little or no experience in the organization may not participate as much as experienced employees. In every case, however, AWP's will be more meaningful documents if subordinates are involved in their development. Supervisors may also modify the AWP to serve as part of corrective action for an employee whose last PAR rating was very low. A few ideas worth thinking about are:

- The strongest motivation comes from within. An employee responds best to stimuli which are recognizable and considered acceptable. Participation in the development of performance standards can help identify the best stimuli for that individual.
- No one knows a job better than the person who is doing it. The employee's opinion of the job and of the standards representing satisfactory job performance are of value even if he or she is not doing exactly what is expected nor using the most efficient and productive methods.
- Employees want to know whether they are measuring up to expected standards and have a genuine interest in the development of performance standards.
- Soliciting the employee's ideas on performance standards helps develop better communication between the supervisor and the employee.
- The employee's concept of performance standards may reveal his or her level of confidence in his or her ability to do the job.

Points to Remember in Preparing the AWP

Section A

- In developing key job elements:
 - Be sure to consider all aspects of the job.
 - Determine which are most important.
 - Use as few words as possible to describe each of the job elements.
 - Subordinates should be able to understand and accept the key job elements and performance standards.
 - Training objectives for the report period intended to improve job performance.
- In developing performance standards at the fully satisfactory performance level consider:
 - Time—due dates (specified length of time for accomplishing task).
 - Quantity—total number done, number per hour (per day, month, etc.).
 - Quality—how well done—number of errors acceptable, degree of acceptance by customers, depth of research.

Section B

- Special projects, tasks, or objectives may include:
 - Only projects or tasks related to a listed key job element.
 - Special objectives referring to the production of a particular product.
 - Contacts to be identified or developed.
 - Improvement of job-related behavior, e.g., tardiness, interpersonal relationships with customers.

Section C

- The certification that the individual and his/her supervisor have fully discussed the AWP should not be made when significant questions remain unanswered. Both parties should understand that the AWP is the basis for determining the PAR rating level.

N.B. An AWP can be prepared in increments during the reporting period and revised as situations change. It is not necessary to prepare a new AWP as revisions or additions become necessary. They should appear as add-ons to the original document. (For information on how to develop job elements or performance standards see Appendix B.)

A CHECKLIST FOR PERFORMANCE APPRAISAL INTERVIEWS

- I. The place should be:
 - Private—borrow an office, if necessary.
 - Free from interruptions by people and telephones.
- II. The time should be:
 - Scheduled in advance—set an appointment far enough ahead to allow time for both parties to prepare for the interview.
 - Long enough for a meaningful discussion—if may be shorter if the employee and the supervisor work closely with each other on a daily basis, longer if they have had only occasional conversations during the year.
- III. Preparations should include:
 - A. For the supervisor:
 - Reviewing the AWP for the past year.
 - Reviewing the completed PAR.
 - Make sure the PAR has covered all key elements noted in the AWP.
 - Make sure all required factors listed in the directions have been considered.
 - Planning the agenda:
 - Plan how to get off to a good start.
 - Remember to balance praise and constructive criticism.
 - Decide which points need to be emphasized or elaborated on during the interview.
 - Consider any follow-up action which should be discussed.
 - Think about the AWP to be prepared for the coming period.
 - B. For the subordinate:
 - Reviewing the AWP.
 - Considering how well or poorly performance standards were met *and why*.
 - Thinking about the AWP to be prepared for the coming period.

IV. The interview should include:

- A review and discussion of performance during the period being rated.
- A discussion of factors which contributed to or prevented meeting performance standards at the fully satisfactory level.
- A consideration, in the context of the total year's performance, whether the job performance at the close of the rating period is better or worse than that at the beginning of the rating period.
- A conscious effort on the part of both the supervisor and the subordinate to see each other's point of view.
- A discussion of the AWP to be prepared for the coming year.

TIPS FOR APPRAISAL INTERVIEWS

Suggestions for Supervisors

- Put the individual at ease. Don't be afraid to exchange a few pleasantries at first as long as the interview does not degenerate into a meaningless gabfest.
- Listen. Remember that the interview is to be a two-way communication. There is no point in a personal interview if one person is going to do all the talking; the same end could be accomplished with a letter!
- Don't interrupt. The individual may be just about to say something really significant. The appraisal interview should provide an opportunity for the subordinate to say what is on his or her mind.
- Avoid argument. State your views, but also listen to the other side. You might get a new slant on the job and its requirements.
- Take a positive approach. Praise good performance. Stress the individual's strong points, but don't avoid pointing out any deficiencies.
- Be constructive; suggest ways to improve those areas where the individual's performance is not up to standard.
- Keep the focus on the job. You are concerned with how well the individual does the job, not with his or her personality unless it directly affects job performance.
- Ask open questions. Questions that cannot be answered with a simple yes or no protect the employee from having to make a firm commitment until all aspects of the appraisal are out on the table. They can also provide more meaningful information about what the employee thinks and feels.
- Don't rush the interview but conclude it when it has served its purpose. A good supervisor neither cuts short an interview which is contributing to an improved mutual understanding nor prolongs one which is not accomplishing anything.

A Few Suggestions for Supervisors When Corrective Action is Appropriate

- Keep the focus on the job and the individual's performance of it. Help the individual to develop an awareness of his or her weaknesses.
- Try to understand the different personalities of your subordinates. One individual may respond best to a frank and even tough approach to shortcomings; another may be psychologically destroyed by the same approach. Gear your comments accordingly.
- Never dwell on a problem that has no solution; learn to accept the fact that your job is not to change an individual's personality, but only to help get the job done better.
- Develop employees. Some people are content with what they are doing, and don't want to move up any further in the organization. Others, of course, are dissatisfied. One of the purposes of the interview should be to explore the individual's level of job satisfaction. Even here, the mere fact that an employee is contented or discontented is only a start—try to find out why.

SUPERVISORY FOLLOW-UP TO THE PAR

Performance appraisal is a continuous process, occurring throughout the year. The occasion of the formal annual (or special) written PAR is a good time to summarize what has happened during the year, take corrective action where necessary, and reaffirm the process of ongoing supervisor/subordinate communication. The performance appraisal interview should end on a positive note to set the tone for the coming year. It is the time for a fresh slate for all employees, whether they are strong or weak performers, and the new AWP, prepared after the PAR, should provide the framework.

In the case of marginal or superior performance, the most important question to ask is what motivated that kind of performance. Obviously in the case of the marginal performer, the supervisor will want to help the individual change the motivating forces. For the superior performer, the supervisor will want to help reinforce and perhaps expand the motivating forces. Each case will be different, but the following suggestions may be appropriate in dealing with your subordinate:

The Marginal Performer

- Identify some tasks for inclusion in Section B of the AWP which you know the employee can perform successfully. This will serve to help preserve self-respect. Revise the AWP where possible so the individual feels less anxious about the job. Closely monitor progress until the individual demonstrates satisfactory improvement. Of course, a time limit should be set to accomplish this.
- Help the employee to understand work-related weaknesses and set goals to overcome them.
- Provide closer supervision and continuous feedback.
- Consider whether or not remedial training is appropriate.

CAUTION: Not all marginal performers can be turned around. The supervisor should recognize that there may come a time when other action must be taken, perhaps leading to the employee's termination.

The Superior Performer

- Consider monetary rewards and special recognition—a quality step increase, special awards.
- Give the individual more control over responsibilities, e.g., less supervision, a greater role in planning, the option of presenting his or her own work to senior management.
- Give the individual responsibility for training or supervising others.
- Consider further career development possibilities.

CAUTION: Just because an employee is a superior performer in the current job doesn't mean that a change is appropriate or desired. Changes, if unwanted by the employee, may be counter-productive. The employee *must* play a *major* role in deciding what will follow a superior rating on the PAR.

APPENDIX A **PERFORMANCE APPRAISAL PACKAGE**

ADVANCE WORK PLAN (See reverse side for directions)		CAUTION: BLANK FORM REQUIRES SECURE	
NAME (Last, First, Middle)		PERIOD COVERED	
A. Summary of the key job elements to be listed on the PAR and the performance standard expected at the fully satisfactory level of performance--rating level 4 (where applicable; see Section C instructions).			
Key Element		Performance Standard	
B. Specific projects, tasks, etc., to be accomplished during the rating period which are part of the key elements shown above and for which a more detailed review is deemed important.			
C. CERTIFICATION: We acknowledge that we have discussed the duties on which the undersigned employee will be evaluated and the performance standard expected			
SIGNATURE OF EMPLOYEE (Name typed)		SIGNATURE OF SUPERVISOR (Name typed)	
DATE		DATE	

FORM 4-82 **45w** OBSOLETE PREVIOUS EDITIONS

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THE ADVANCE WORK PLAN

INTRODUCTION

The purpose of the Advance Work Plan (AWP) is to assure that employees are fully aware of all major aspects of their job, and of the work performance expected of them by their supervisor. Employees should know their role in the organizational component in which they work. This should be made clear in the AWP.

Section A

- Performance elements of an employee's job that are essential to success in that job are called "key" elements. Key elements consist of a grouping of individual tasks and collectively cover the major duties and responsibilities of the position. As long as the job remains unchanged the "key" elements remain in effect.
- Supervisors should have performance standards for each of the key elements listed on the AWP. A performance standard is a statement describing what an employee must do to perform a key job element at a specified level. As a minimum, a standard at the fully satisfactory level of performance (rating level 4) should be described. Performance standards are reference points for determining the rating levels given the employee's performance of key job elements during the rating period. Although a supervisory responsibility, performance standards should be established with the subordinate's participation. Employees doing the same job should have the same standards against which their job performance is to be measured. Jobs of the same general kind but at different grade levels should have different performance standards.
- The chief aim of the performance standard is to communicate to subordinates in a clear and concise manner what is expected of them in the way of a fully satisfactory work performance. As in the case of the key elements of the position, the expectations supervisors have of their subordinates should remain essentially unchanged unless work requirements of the positions change. In effect, performance standards need not be reestablished once they are in place. The important thing is that employees understand the "yardstick" their supervisors will use to measure their work performance.

Section B

- This section applies only to employees whose jobs involve particular work activity designated for accomplishment specifically during the period covered by the report. For example, for an analyst the analysis required (key element of the job) may be to complete a study on a particular subject that had not been looked at for several years; a training specialist may be tasked to redesign a particular course of study; a clerical employee may be tasked to purge office files of outdated material. These projects should be identified in this section and milestones, target dates, etc., should be disclosed.
- In some cases it may not be possible to realistically anticipate all the special projects or tasks that might be forthcoming at the time the AWP is initially prepared. This section may be completed or added to at any time during the course of the report period, keeping in mind that the AWP should be current at all times and contain a record of all significant job activity to be performed by the individual being evaluated.

Section C

- There may be circumstances where employees and their supervisors agree that there is a high degree of understanding between them regarding job duties (key elements), the performance standards and specific projects and tasks to be accomplished during the period covered by the report. In such cases, and if they so agree, Sections A and B of the AWP need not be stated in writing. However, in any case, the employee and supervisor must certify that duties of the job and the expectation of the supervisor have been discussed and that an understanding exists between them.
- The signatures certifying to this understanding will be placed in the space provided.
- The AWP should be retained in the employee's "soft" file as a reference for use in counseling the employee, for resolving any misunderstandings or grievances related to the PAR, or for use by employee evaluation panels.

WNINTEL		CONFIDENTIAL (When Filled In)		CAUTION: BLANK FORM REQUIRES	
PERFORMANCE APPRAISAL REPORT (NOT to be completed without using Form 45i directions)					
SECTION A GENERAL INFORMATION					
1. SOC SEC NUMBER	2. NAME (Last, First, Middle)	3. DATE OF BIRTH	4. SD	5. SCHED	6. GRADE
7. AFFILIATION		8. OCCUPATIONAL TITLE			
9. OFFICE/DIVISION/BRANCH OF ASSIGNMENT		10. CURRENT STATION			11. HQS.
12. REPORTING PERIOD		13. DATE REPORT DUE IN OP		14. TYPE OF REPORT	
SECTION B QUALIFICATIONS UPDATE					
Qualifications Update (Form 444n) is _____ is not _____ attached. (Submit only if there are changes.)					
SECTION C PERFORMANCE RATINGS					
Rating Number 1. Individual consistently fails to meet the work standard for the key job element performed. Performance is unsatisfactory. 2. Individual frequently fails to meet the work standard for the key job element performed. Performance is marginal. 3. Individual occasionally fails to meet the work standard for the key job element performed. Performance is acceptable. 4. Individual fully meets the work standard for the key job element performed. 5. Individual occasionally exceeds the work standard for the key job element performed. Performance is good. 6. Individual frequently exceeds the work standard for the key job element performed. Performance is excellent. 7. Individual invariably exceeds the work standard for the key job element performed. Performance is superior.					
KEY JOB ELEMENTS					
KEY JOB ELEMENT NO. 1 AND RATING					
KEY JOB ELEMENT NO. 2 AND RATING					
KEY JOB ELEMENT NO. 3 AND RATING					
KEY JOB ELEMENT NO. 4 AND RATING					
KEY JOB ELEMENT NO. 5 AND RATING					
SECTION D OVERALL PERFORMANCE RATING LEVEL					
Taking everything into account about the employee which influences his/her effectiveness on the job, I rate the employee's overall performance at this level.					

FORM 4-82 45 OBSOLETE PREVIOUS EDITIONS

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RVW 20 YRS. FROM DATE IN ITEM 13
ORG 022546. EXT SAME RSN 3D3

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SECTION E		NARRATIVE COMMENTS	
1. By Supervisor			
Months employee has been in this position _____	Months employee has been under my supervision _____	Interim discussion was _____ was not _____ held.	Reason for NOT showing employee the report is attached. Yes _____ No _____
DATE	TITLE	TYPED OR PRINTED NAME AND SIGNATURE	
Employee Certification			
I have reviewed my supervisor's comments and discussed my job performance ratings with him/her. My signature does not necessarily imply my agreement with either.		DATE	TYPED OR PRINTED NAME AND SIGNATURE
2. By Reviewing Official			
DATE	TITLE	TYPED OR PRINTED NAME AND SIGNATURE	
3. By Employee			
I have read my reviewing official's comments. My signature does not necessarily imply my agreement with them.		I have _____ have not _____ attached a statement containing my comments about this Performance Appraisal Report.	
DATE	POSITION TITLE	TYPED OR PRINTED NAME AND SIGNATURE	

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CAUTION: FORM REQUIRES SECURE

DIRECTIONS FOR COMPLETING PERFORMANCE APPRAISAL REPORT

(Agency Policy on Performance Appraisal is found in)

The performance appraisal package consists of the following three parts:

1. Performance Appraisal Report (Form 45)
2. Advance Work Plan (Form 45w)
3. Directions (Form 45i)

THE PERFORMANCE APPRAISAL REPORT

Section A—General Information

- This section will be pre-printed by computer.
- No changes are to be made except for name changes or the reporting period, if necessary.

Section B—Qualifications Update

- Indicate whether employee's qualifications have been updated during the reporting period and whether they are attached.

Section C—Performance Ratings of Key Job Elements

- Those elements of an employee's job that are essential to success in that job are called "key" elements. Key job elements consist of a grouping of individual tasks, and collectively cover the major duties and responsibilities of the position. List in order of importance the key job elements performed during the report period as acknowledged on the Advance Work Plan (AWP).
- Use single digit ratings only. Decimals, plus or minus signs, or other modifications may not be added.

Section D—Overall Employee Performance Rating

- The overall performance rating should represent the total effectiveness of the individual in fulfilling the requirements of the job. Each job element should be given its appropriate weight so that the overall rating is **not** necessarily an average of the rating level given to each job element. In addition, all other **job-related** factors should be considered, e.g., the quantity and quality of the work produced, the amount of supervision required, sensitivity to the principles of equal employment opportunity, practical judgment in dealing with difficult situations or in solving problems.
- An overall performance rating of 2 indicates the employee is **not** eligible for a periodic step increase (PSI). An employee must have an overall rating level of 3 or higher to qualify for a PSI. (See description of ratings on the reverse side.)

Section E—Narrative Comments

1. By Supervisor

- The first sentence of the narrative in reports on employees in trial period status must recommend for or against continued employment.
- The narrative comments of the supervisor must support the rating level given the employee. The connection with the performance standard acknowledged on the AWP must be made, and all remarks and observations should be limited to and relate directly to job behaviors of the employee in the performance of his or her official duties.

- It is important that supervisors provide sufficient explanation and detail in this section so that career panels and boards will understand the basis for the overall rating. Management officials need to know what employees' strengths and weaknesses are. They depend largely on supervisory officials for this information.
- The following factors **must** be addressed in reports for supervisory and managerial employees. The supervisor's signature will certify that all factors have been considered. **Specific comment** is required when the supervisor evaluates the employee as being either deficient or more than satisfactory in any of these factors:
 - Subordinate management and development
 - Quality of performance appraisals
 - Delegation of responsibility
 - Equal employment opportunity
 - Use of personnel, space, equipment, funds, etc.
 - Goal setting and achievement
- When for any reason the supervisor does not show the employee the PAR and discuss it with him or her, an explanation must be prepared in writing and attached to the PAR for the record.

Employee Certification

- The employee's signature certifies that he or she has read the supervisor's comments and the rating given for the report period and has discussed them with the supervisor. The signature must not be construed to mean that the employee necessarily agrees with the contents of the report.

2. By Reviewing Official

- The reviewing official must provide substantive comment on the individual being rated wherever possible. (In rare instances there may not be an appropriate reviewing official.) If the reviewer is in substantial disagreement with the supervisor, the evaluation should be discussed with the supervisor and the employee. The reviewing official's signature certifies that all requirements for completing the PAR in accordance with instructions have been met.

3. By Employee

- The employee's signature certifies that he or she has read the reviewer's comments but does not mean that the employee necessarily agrees with them. Employees also have the option to comment on the evaluation they receive and should check (✓) appropriately in the space provided. It is important that employees feel free to make their views known regarding their work performance, and they may choose to make them a matter of record.

OVERALL PERFORMANCE RATING LEVELS

1. Performance does not meet established work standards for the position and specifically demonstrates the individual's failure to meet important job requirements (e.g., doesn't complete work; lacks the necessary knowledge, skill, or ability to do the job properly). Performance is unsatisfactory.
2. Performance frequently does not meet all established work standards for the position and reflects a significant problem relating to the individual's suitability for the job (e.g., seldom completes work assignments without strong support; work products or services are often faulty and incomplete). Performance is marginal.
3. Performance generally meets established work standards for the position but characteristically needs improvement in a specific area or on occasion falls somewhat short of satisfying all job requirements (e.g., inconsistent work effort in meeting deadlines; quality of work product or service sometimes needs to be improved). Performance is acceptable.
4. Performance meets all established work standards for the position and attests to a fully satisfactory level of job-related knowledge, skill or ability (e.g., does what is expected; reliable and dependable, a typical performer).
5. Performance occasionally exceeds established work standards for the position and is generally of higher quality than is required to do a fully satisfactory job (e.g., generally produces a better than average product or service; reveals a good level of knowledge, ability and skill in satisfying work requirements). Performance is good.
6. Performance frequently exceeds established work standards for the position and shows that the individual's level of job-related knowledge, skill, and ability is highly developed (e.g., functions with ease in satisfying work requirements, producing a high-quality product or service). Performance is excellent.
7. Performance invariably exceeds established work standards for the position, and is characterized by extraordinary proficiency suggestive of one expert at doing the job (e.g., highly efficient performer, one who demonstrates impressive knowledge, skill and ability in his or her work performance). Performance is superior.

APPENDIX B

HOW TO DEVELOP KEY JOB ELEMENTS AND PERFORMANCE STANDARDS

(Adapted from OPM
Performance Standards
Handbook)

Definition of Terms

- **Performance.** An employee's accomplishment of assigned duties and responsibilities.
- **Key Job Element.** A major duty or responsibility (an assignment) which is important to success and/or failure in the position. An assignment may be significant enough to stand alone as a key job element, or a key job element may consist of a grouping of *individual tasks*. Collectively, key job elements cover the major duties and responsibilities of the position.
- **Performance Standard.** The expressed measure of the level of achievement, including quantity, quality, and timeliness, established by management for the duties and responsibilities of a position or group of positions.
- **Performance Levels.** The ratings used to define the level of quality of performance against which each key job element is judged.

The Approach

FIRST PHASE: IDENTIFYING KEY JOB ELEMENTS

1. Collect job information.
2. List job tasks.
3. Cluster job tasks into key job elements.

SECOND PHASE: DEVELOPING PERFORMANCE STANDARDS

1. Determine by what measures key job elements are to be judged.
2. Consider how judgment is to be reached.
3. Establish performance levels.

A. IDENTIFYING KEY JOB ELEMENTS

1. **Collect job information.** Basic data about jobs may be collected from any or all of the following sources:

- employee position description
- organizational goals or objectives
- budgets and work plans
- supervisor-employee discussion of work assignments
- analysis of job by persons with expert knowledge.

The data sources used vary with the kind of job to be analyzed. The data sources listed above can assist you in determining whether or not an employee has sufficient control over the expected job outcomes. For appraisal purposes, the key job elements to be tracked for an individual employee should be within his or her control to accomplish.

2. **List job tasks.** One method of developing a comprehensive list of tasks involved in assigned duties and responsibilities is to conduct “brainstorming” sessions with one or several employees doing the same work. This step may be useful in clearing up any confusion or uncertainty about what is expected. In developing the list, use only two, three, or four words to describe activities. If possible, use an action verb and its object (e.g., formulates policy; types letters; supervises employees). Write down *what is* rather than what should be. After there is agreement on the simple statement of *what is done*, the phrases may be expanded to include purposes. Figures 1 and 2 provide examples of individual tasks generated during a brainstorming session for two positions.

Another method of developing a list of job tasks is to have the supervisor, or an employee assigned to do so, review position descriptions and draw up a list of job tasks required to accomplish specific organizational goals and objectives.

3. **Cluster job tasks into key job elements.** Using the list of individual tasks, reduce the list to a *cluster* of tasks. The clustered tasks form broad categories which are labelled by their outcome, product or service—these broad categories are called *key job elements*. You will want to eliminate any duplication or overlap. After tasks are grouped into elements, the supervisor and employee will discuss and arrange the required elements in order of importance. Figures 3 and 4 provide examples of clustered tasks for the same two positions described in Figures 1 and 2.

A caution—avoid elements referring to knowledge or abilities possessed by the employee. Elements should describe what the employee *does*—not what he or she knows or is able to do.

**FIGURE 1. INDIVIDUAL TASKS LISTED DURING A BRAINSTORMING SESSION
FOR A "MANAGER" POSITION**

- | | |
|---|---|
| 1. Plans work | 18. Implements policy |
| 2. Accomplishes monthly work reviews | 19. Reviews/authorizes overtime requests |
| 3. Writes procedures | 20. Handles personnel problems |
| 4. Establishes schedules | 21. Keeps people informed |
| 5. Hires people | 22. Writes procedures |
| 6. Maintains interdepartmental communications | 23. Provides operating instructions |
| 7. Maintains morale | 24. Reviews attendance records |
| 8. Reviews safety program | 25. Cross-trains staff |
| 9. Analyzes management reports | 26. Conducts employee monthly management meetings |
| 10. Sets objectives | 27. Conducts weekly work-scheduling meetings |
| 11. Issues memos on changes | 28. Writes job descriptions |
| 12. Sets up controls | 29. Writes budget |
| 13. Trains people (on the job) | 30. Reviews job descriptions |
| 14. Provides technical guidance to staff | 31. Reviews performance |
| 15. Assigns personnel | 32. Counsels employees |
| 16. Communicates policy to employees | 33. Conducts interviews |
| 17. Meets schedules | |

**FIGURE 2. INDIVIDUAL TASKS LISTED DURING A BRAINSTORMING SESSION
FOR A GS-05 SECRETARY (STENOGRAPHER) POSITION**

- | | |
|--|--|
| 1. Types correspondence | 11. Maintains appointment calendar |
| 2. Takes/transcribes dictation | 12. Stays abreast of current regulations |
| 3. Maintains files | 13. Controls accountable documents |
| 4. Processes mail | 14. Coordinates conferences |
| 5. Provides information (receptionist) | 15. Schedules travel |
| 6. Processes telephone calls | 16. Provides guidance/assistance |
| 7. Reviews correspondence | 17. Maintains office supplies |
| 8. Maintains attendance records | 18. Operates equipment |
| 9. Writes routine correspondence | 19. Posts regulations |
| 10. Logs correspondence | |

FIGURE 3. KEY JOB ELEMENTS: "CLUSTERED" LIST FOR "MANAGER" POSITION

PROCEDURE DEVELOPMENT AND ADMINISTRATION (ELEMENT)

- Issues memos on changes
- Communicates policy to employees
- Implements policy
- Writes procedures
- Provides operating instructions

PLANNING (ELEMENT)

- Plans work
- Establishes schedules
- Sets objectives
- Assigns personnel
- Writes procedures
- Writes budget

CONTROL (ELEMENT)

- Analyzes management reports
- Sets up controls
- Meets schedules
- Reviews/authorizes overtime requests
- Reviews attendance records

REPORTS AND ANALYSIS (ELEMENT)

- Analyzes management reports
- Accomplishes monthly work reviews

PERSONNEL ADMINISTRATION/MANAGEMENT (ELEMENT)

- Hires people
- Trains people (on the job)
- Provides technical guidance to staff
- Reviews attendance records
- Cross-trains staff
- Reviews job descriptions
- Reviews performance
- Counsels employees
- Conducts interviews

COMMUNICATIONS (ELEMENT)

- Maintains interdepartmental communications
- Maintains morale
- Issues memos on changes
- Keeps boss informed on work situations
- Keeps people informed
- Conducts employee monthly management meetings

FIGURE 4. KEY JOB ELEMENTS: "CLUSTERED" LIST FOR A GS-05 SECRETARY (STENOGRAPHER) POSITION

CLERICAL SUPPORT (ELEMENT)

- Types correspondence
- Takes/transcribes correspondence
- Maintains files

COMMUNICATIONS MANAGEMENT SUPPORT (ELEMENT)

- Processes telephone calls
- Provides information (receptionist)

OFFICE MANAGEMENT SUPPORT (ELEMENT)

- Processes mail
- Controls accountable documents
- Maintains attendance records
- Schedules travel
- Requisitions materials/supplies

ADMINISTRATIVE SUPPORT (ELEMENT)

- Reviews correspondence
- Schedules/maintains appointments
- Coordinates meetings
- Provides guidance and assistance
- Writes routine correspondence

B. DEVELOPING PERFORMANCE STANDARDS

1. **Determine by what measures key job elements are to be judged.** A performance standard *is* a measure. It should enable the supervisor to measure the employee's actual accomplishment of key job elements. Definitions of commonly used *units of measure* follow:

Quality—how well done

Quantity—how much done

Timeliness—how fast it is done

Manner—way in which it is done, style

Method—procedures, policies, technique

Cost—dollars, manpower, time, consequences of error

2. **Consider how judgment is to be reached.** The following factors should be considered when deciding *how to express* a unit of measure:

Observable—can be witnessed; concrete; definable

Measurable—can be assessed; evaluated; different performance levels can be distinguished

Achievable—possible to accomplish; no barriers exist

Reasonable—can be done within a specific time frame

Related to the position—measurement is based on key elements and tasks of the job, and not on individual traits or person-to-person comparisons

Understandable—what is being measured as well as when and how it will be measured is clear

Cost-effective—potential savings to the government will be realized

Adequacy and availability of reporting systems—systems are available to provide measurement data, or any special systems which must be developed will be cost effective and will not place an undue administrative burden on the manager or supervisor

Employee's authority to act—employee has substantial control over the job and power to make decisions

Employee's opportunity to act—work, proper tools, materials, equipment, time, etc., will be available

3. **Establish performance levels.** To the maximum extent feasible, performance standards should permit accurate evaluation of performance on the basis of objective criteria.

When determining performance levels, first define the "fully satisfactory" level and from that point, determine what is the lowest level—the bottom line—for each element or task (i.e., the marginal level below which the employee's performance would be unsatisfactory). Then, define the level at which each element or task is considered "superior." The "fully satisfactory" level is that level of performance which can be expected of any qualified employee designated to perform the same assignments under the same conditions. In other words, they can be thought of as "normal" requirements, not too high, not too low. A fully satisfactory performance does

not mean perfection. Thus, words such as “no mistakes,” “without fail,” “always,” etc., should usually be avoided. Also, avoid using *adverbs* as much as possible when developing your standard because adverbs cannot be precisely defined and will lead to increased subjectivity on the part of the rater at the end of the rating period.

C. STRIVING FOR CONSISTENCY OF PERFORMANCE STANDARDS AMONG SIMILAR JOBS

Employees who are performing *similar* jobs should have similar tasks and performance standards (although some variations can be expected because of differences in work assignments). Particular care should be taken to ensure that employees who are performing similar jobs with different work assignments have performance elements and standards that reflect any differences in assigned tasks or expected job outcomes.

In situations in which a Division, Office or Branch has employees in different locations who are performing the same or similar functions, supervisors' standards should assure a reasonable degree of consistency for the same types of positions.

D. PERFORMANCE STANDARDS WHICH EMPHASIZE OBJECTIVES/RESULTS

For Agency components that are inclined to use a management-by-objectives approach, key job elements and standards may emphasize objectives set to accomplish the organization's goals. In this situation, the key job elements are drawn from the objectives, and performance standards are intended to measure the results of actual work to determine the degree to which specific objectives have been achieved. The nature of many managerial and technical/professional jobs is such that frequently work results are dependent upon input from other persons, making it difficult to assign total responsibility for the results.

There are those who manage non-routine work with “work-planning, objective-setting, progress-review” methods. These work methods provide their own opportunities for developing specific job-related performance elements and standards.

1. *Key job elements* may be identified during:
 - a. **Joint objective-setting exercises**—supervisors and subordinates formulate clear, concise statements of work objectives. The objectives should be tangible, measurable, achievable and verifiable.
 - b. **Planning of action steps**—each objective is broken down into specific tasks leading to an expected accomplishment.
2. *Performance standards* may be determined by applying appropriate professional criteria for measuring and assessing such work aspects as quality, quantity, timeliness, and benefit/cost ratios. *A performance standard should include methods to be used to determine when criteria have been met.*

Performance standards should be written for the level at which an individual may reasonably be held accountable, i.e., for either, or both, the objective level or the task level.

The success of a work unit may depend on the *manner* in which a manager or a technical and/or professional employee handles responsibility. Where manner of perform-

ance is important, it is advisable to include criteria that define and measure it in terms of impact on accomplishing results.

3. *Performance levels* for the Objectives/Results approach should allow an employee to reach for “stretch” goals, i.e., to add tasks that go beyond the established goals. A performance level of superior should include recognition of innovative, creative, cost-saving ideas, behaviors and outcomes.

SUGGESTIONS

1. **To identify key job elements:** Determine functions and responsibilities of the position, and current or anticipated priorities; use job descriptions, functional statements, management-by-objectives plans, and any other sources available. Identify duties, tasks, results expected. Review list of elements to ensure no duplication or overlap; address all major functions which contribute to successful accomplishment of the job.
2. **Performance standards:** Should be attainable and within the employee’s control. Standards can combine several factors: timeliness of completing processes or products, quantity of product or frequency of action, quality of results, effectiveness, etc.

For standards dealing with quantity, do *not* use numbers or percentages if tracking systems do not exist or will not be developed.

For standards dealing with timeliness, consider what is the best performance indicator and what is the easiest, most cost-effective to track. Some tracking aids to consider include time-tables, suspense systems, progress or monitoring reports.

For standards dealing with quality, consider usefulness, responsiveness, effect obtained (e.g., problem resolution), acceptance rate, error rate, feedback from users/clients, panel or peer judgment, organizational impact.

HOW TO IMPROVE AN EXISTING PERFORMANCE STANDARD (First Draft)

SECRETARY GS-05
 Title Grade

KEY JOB ELEMENT	PERFORMANCE STANDARD
1. Types correspondence and other material.	Typed material is <u><i>routinely</i></u> arranged neatly in an appropriate format. <u><i>Rarely</i></u> makes errors in spelling, punctuation or grammar. <u><i>Regularly</i></u> provides typed material to author <u><i>within required timeframes.</i></u> ↳ When are these determined?
2. Takes and transcribes dictation.	<u><i>Routinely</i></u> transcribes dictation accurately. <u><i>Rarely</i></u> makes errors in spelling, punctuation or grammar.
3. Receives telephone calls and visitors.	<u><i>Routinely</i></u> answers inquiries, screens and refers visitors and phone calls accurately and courteously. No legitimate complaints are received, no instances of discourtesy noted.
	↓ Frequency needs to be more specific to differentiate this standard from another.

HOW TO IMPROVE AN EXISTING PERFORMANCE STANDARD (Second Draft)

EXAMPLE OF A STANDARD THAT HAS BEEN EDITED

SECRETARY GS-05
Title Grade

KEY JOB ELEMENT	PERFORMANCE STANDARD
1. Types correspondence and other material	Typed material is free of errors, neatly assembled with all supporting documents correctly attached. Completed work is submitted well within requested time frame.
2. Takes and transcribes dictation.	Takes dictation without interrupting speaker. Transcribes all but very complex, technical material in final form, without preparing draft copy. Consults dictionaries, thesaurus, secretarial handbooks to avoid errors in spelling, punctuation and grammar.
3. Receives telephone calls and visitors.	Maintains desk notes concerning data frequently requested for use in answering inquiries; screens and refers visitors and telephone calls appropriately, accurately and courteously. Volunteers to assist inquirer, using known office protocol. No legitimate complaints or discourtesies are noted.
4. Prepares routine correspondence.	Determines what correspondence to answer on own. Correspondence is accepted by supervisor with no major revisions.
5. Maintains and operates filing system(s).	Seeks filing improvements and recommends needed filing system or filing space changes. There are no valid complaints that necessary information is missing from files. Filing system(s) maintained routinely allowing for ready retrieval of data.

HOW TO IMPROVE AN EXISTING PERFORMANCE STANDARD (Second Draft - Continued)

EXAMPLE OF A STANDARD THAT HAS BEEN EDITED

SECRETARY GS-05
 Title Grade

KEY JOB ELEMENT	PERFORMANCE STANDARD
6. Gathers and provides information for meetings, seminars and conferences.	On own initiative, obtains necessary program materials for supervisor; makes travel and other logistical arrangements based on brief notes; any logistical errors made are corrected on own initiative.
7. Oversees office administration (including correspondence procedures, report preparation, suspense files, office equipment requisitioning, time and attendance records, travel-fund tracking and estimating systems).	Handles administrative matters in accordance with guidelines and establishes deadlines. Identifies administrative problems within the organization and recommends action to supervisor. Offers suggestions for improvement in administrative procedures covering clerical activities.
8. Maintains supervisor's appointment calendar.	Accepts, rejects or reschedules appointments on own initiative, as well as after consultation with supervisor. Very rarely makes scheduling errors resulting in time conflicts. Always reminds supervisor of appointments.
9. Screens and routes mail.	Routes mail to appropriate person or organizational unit, taking care to attach background data from files.

HOW TO IMPROVE AN EXISTING PERFORMANCE STANDARD (First Draft)

FIRST DRAFT OF A STANDARD

RESEARCH ADMINISTRATOR GS-13
Title Grade

KEY JOB ELEMENT	TASK	PERFORMANCE STANDARD
Program management	Provide program leadership	Provides <u>sound</u> direction to re- search units; <u>supports</u> new re- search efforts proposed by staff scientists.
	Promote research productivity	Publishes research results in in- ternal and external professional journals. (<u>Encourages</u>) staff to publish.

HOW?

*Inadequate, should be more
specific as to method or manner.
Can we assume the acceptance
of material for publication
implies quality?*

HOW TO IMPROVE AN EXISTING PERFORMANCE STANDARD (Second Draft)

RESEARCH ADMINISTRATOR GS-13
Title Grade

KEY JOB ELEMENT	TASK	PERFORMANCE STANDARD
Program management	1. Provide program leadership	<p>1. a. Ensures that new ideas, stimuli, etc., are provided to research units/programs.</p> <p>b. Shifts resources where appropriate, to support new or redirected research efforts.</p> <p>c. Increases multidisciplinary research efforts.</p> <p>d. Increases internal and external interest in the new or redirected research effort.</p>
	2. Promote research productivity	<p>2. a. Assist staff to publish in one or more of the following:</p> <p>(1) Referred journals</p> <p>(2) Department series</p> <p>(3) Trade publications</p> <p>(4) Proceedings</p> <p>(5) Book chapters</p> <p>(6) Citation index</p> <p>(7) Reviews</p> <p>(8) Abstracts</p> <p>(9) Mimeographed releases</p> <p>(10) Popular publications</p> <p>b. Participates in conferences and seminars to increase research activity.</p>

APPENDIX C

WHERE TO GO FOR ASSISTANCE

Administrative and Procedural Questions

Performance Appraisal Report Directions Sheet

Personnel Evaluation Regulation ()

Component Personnel or Administrative Officer

Training in Performance Appraisal

Self-Study Center

Office of Training and Education

Performance Appraisal Workshop

(Performance appraisal is covered as a topic in several other OTE courses.
Contact your training officer).

Advice and Assistance on the Content of a Report

Chain of Command

Component Personnel or Administrative Officer

Component Career Management Officer

Where to Refer an Employee for Additional Counseling

Chain of Command

Component Personnel or Administrative Officer

Component Career Management Officer

Evaluation Board Representative (if applicable)

Grievance or EEO Counselors

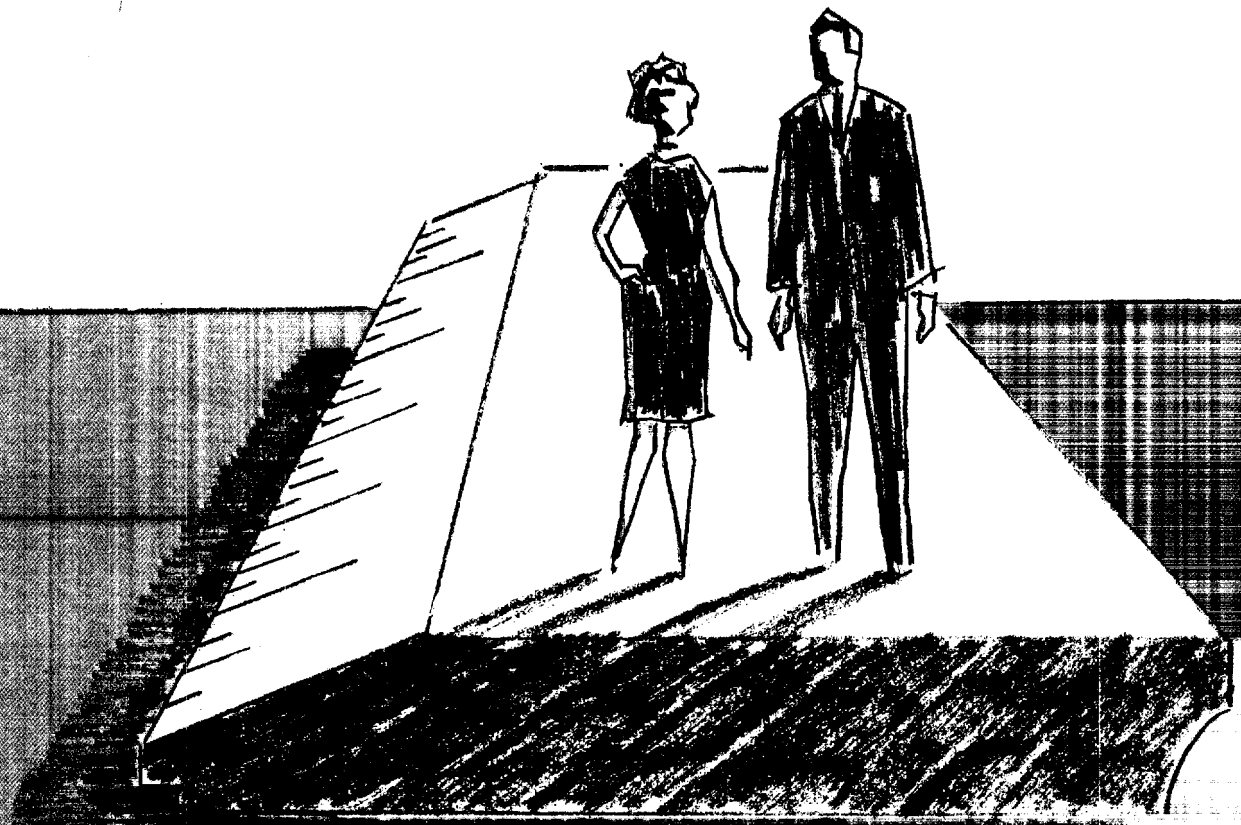
Staff Personnel Division, Office of Personnel

Special Problems

Occasionally performance problems are caused or aggravated by personal problems. Because of the sensitive nature of any personal problem, consult your supervisor and component personnel officer before referring an employee on the basis of any problem listed below.

Problem	Office of Assistance
Health (employee or family)—includes alcoholism, drug abuse, physical or mental health problems	Office of Medical Services
Financial	Credit Union Personal Affairs Branch, Office of Personnel
Legal	Office of General Counsel

Performance Appraisal Handbook



PERFORMANCE APPRAISAL HANDBOOK

July 1979

PERFORMANCE APPRAISAL HANDBOOK

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POLICY

A properly administered performance appraisal program requires continuing communication and understanding between supervisor and employee to evaluate performance of individual job responsibilities, the achievement of organizational objectives, and progress toward career development goals. During the course of the reporting period the supervisor should have frequent work-related conversations with the employee to offer guidance and encouragement and to discuss the assignment and status of performance.

Supervisors are required to develop Advance Work Plans and to record performance appraisals and evaluations of potential at least once a year. The Performance Appraisal Package, Form 45, is used for this purpose. The package contains a Performance Appraisal Report (PAR); an Advance Work Plan (AWP); and an Evaluation of Potential. Instructions are provided with each package. Each element of the package is signed by the employee certifying that he/she has seen it. In the case of the PAR, the employee's signature also certifies that the appraisal has been discussed with the employee by the supervisor.

A memorandum is no longer permitted in lieu of Form 45 for employees GS-14 or above. A Performance Appraisal Report, Advance Work Plan, and Evaluation of Potential will be completed on all employees through grade GS-18.

Submission

The original copy of the PAR will be forwarded to the Office of Personnel through the Head of the Career Service concerned or a designee, with one copy to be retained by the Career Service. The AWP for the period covered by the appraisal should be attached before forwarding. The new AWP, prepared for the coming year, will be retained by the office.

SCHEDULE FOR SUBMISSION OF ANNUAL REPORTS

Grade	End of Reporting Period	Due in Office of Personnel
GS 01-05	31 March	30 April
GS-06	31 January	28 February
GS-07 and 08	31 December	31 January
GS-09 and 10	30 September	31 October
GS-11	31 August	30 September
GS-12	31 July	31 August
GS-13	30 June	31 July
GS-14	30 April	31 May
GS-15 and above	31 March	30 April

ADMINISTRATIVE—INTERNAL USE ONLY

A PAR will be prepared annually for each employee, except when a report has been submitted for some other purpose (e.g., reassignment) during the 90 days preceding the end of the reporting period. An annual report may be delayed until the employee has been under the supervisor's jurisdiction for 90 days.

Enforcement

Reviewing officials will return incomplete or inconsistent reports to rating officers for corrective action before signing the report. The reviewer's signature certifies that the report meets all the requirements of the performance appraisal system.

Career Services are responsible for a monitoring system to insure that the principles of the performance appraisal system are adhered to. This includes, but is not necessarily limited to insuring completeness, consistency, and timeliness of Performance Appraisal Reports; regular preparation of Advance Work Plans and Evaluations of Potential; and enrolling new supervisors in training.

Employee Comments

Employees have the option of commenting on the supervisor's evaluation and/or the reviewer's comments in the Employee Comments Section of the Performance Appraisal Report form. If the comments represent a rebuttal to the evaluation of the supervisor or the reviewer, appropriate action must be taken to resolve the area of concern before the report is forwarded to the Office of Personnel. If possible, problems should be resolved at the rater or reviewer level. If this cannot be done, the appropriate Operating Official or a designee with authority to resolve the area of concern must review the case and certify in writing that appropriate action is being taken or that none is necessary. This procedure is not intended to result in voluminous documentation tracing the resolution of the problem. It is hoped that most areas of concern can be resolved informally and only the resolution itself made a matter of record.

Employees may also appeal their performance evaluations in accordance with the provisions of Grievance Systems.

STAT

PREPARING THE PERFORMANCE APPRAISAL REPORT (PAR)

For specific instructions on each section of the report, rating and reviewing officers should refer to the instruction sheet accompanying the Performance Appraisal Package (Appendix A). The following points are provided as further guidance.

General

- There should be no surprises for the employee in the PAR. The rater must keep the employee informed throughout the year on what is expected and how well expectations are being met.
- Objectives and goals in the Advance Work Plan must be commented on in the PAR, either as specific duties, in the narrative comments section, or both.

Supervisor's Comments

- The first sentence of the narrative in reports on employees in the three-year trial period must recommend for or against continuation of employment.
- The PAR is a record of the *performance of the individual*, not the mission and functions of the office.
- Comments on behavioral traits and personality characteristics are appropriate only if they directly affect, either positively or negatively, the individual's performance of the job.
- Specific comments on required factors may be limited to those which are deficient or unusually proficient. A general statement on those which are considered satisfactory should simply indicate that the rater has reviewed them and they meet acceptable standards.
- Statements should be specific, i.e., not just what the employee did, but how and how well.
- The performance appraisal is for the entire rating period. Recent successes and failures should be considered in the context of total performance during the period covered.
- Comments should be limited to the space provided whenever possible.

Overall Rating

- Do not average the ratings of the specific duties. Some duties are more important, others less. Some aspects of performance are not addressed in the ratings of specific duties.

ADMINISTRATIVE—INTERNAL USE ONLY

- The overall rating should support the combined picture reflected in the ratings of specific duties and in the narrative.
- The overall rating should consider every aspect of the employee's performance in its proper perspective and be an accurate reflection of the individual's *total* contribution.

Employee Comments

- Employee comments are optional.
- Often an employee feels strongly about commenting when there is disagreement with the PAR, i.e., in a rebuttal situation. The employee should be encouraged to think about it at least overnight. The employee should fully recognize that the comments will become a permanent part of the official record and probably should not be written under emotional stress until the issue has been carefully considered.

Reviewing Official Comments

- The reviewer must certify that the rater has covered all required points and that the ratings on specific duties, the overall rating, and the comments in the narrative are consistent. Any deficient or incomplete reports must be returned to the rater for corrective action *before* the reviewing official signs the report.
- The reviewer should provide substantive comment on the employee's performance whenever possible. If the reviewer has no first-hand knowledge of the employee's work, the comments should indicate that the reviewer's comments are based on another source of input, e.g., information from the rater, perceptions of customers who deal with the employee, etc. "I concur" is unacceptable.

PREPARING THE ADVANCE WORK PLAN (AWP)

The Advance Work Plan is an agreement between supervisor and employee on goals and priorities for the coming year. It summarizes the key elements and performance standards on which the employee will be rated in the Performance Appraisal Report. While these may not represent the entire range of the employee's responsibilities, they are the most important factors and indicate to the employee where effort must be concentrated. The Plan is completed at least annually and will be revised or amended to record any significant changes in the employee's duties and responsibilities or in agreed performance objectives during the year. It does not have to be a lengthy narrative; in fact, every effort should be made to keep it in outline form, listing goals and objectives and standards of performance.

The Work Plan will be attached to the PAR at the end of the year after progress towards the Plan's objectives has been evaluated. A new Work Plan will then be prepared for the coming year. It will be held by the office during the time the employee is working on the new objectives, and attached to the next PAR.

Employees should be directly involved, to the extent possible, in the development of the Advance Work Plan. Obviously new employees with little or no experience in the organization will have less input than experienced employees. It is also possible that a supervisor may develop an Advance Work Plan as part of corrective action for an employee who was rated very low on the last Performance Appraisal Report. Most Advance Work Plans, however, will be more meaningful documents if employees are involved in their development. When considering the pros and cons of employee participation, a few ideas are worth thinking about:

- The strongest motivation comes from within. An employee responds best to stimuli which are recognizable and considered acceptable. Participation in the development of performance criteria can help identify the best stimuli for that individual.
- No one knows a job better than the person who is doing it. The employee's opinion of the job and the criteria of good job performance is of value even if the individual is not doing exactly what is expected nor using the most efficient and productive methods.
- Employees normally want to know whether they are measuring up to expected standards and have a genuine interest in the development of performance criteria.
- Soliciting the employee's ideas on performance criteria helps develop better communication between the supervisor and the employee.
- The employee's concept of performance criteria can help reveal ambitions and developmental needs.

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Examples of Points to Cover in the AWP

Section A

Is it a line job or staff job?

Is it at the office, division, branch, or section level?

If a supervisor, is it first-line supervision or a higher level?

Is the job performed only in the individual's own office, or must the employee deal with other parts of the Agency?

Section B

- Objectives, goals, and priorities:
 - Project or tasks related to a specific duty.
 - Goals to increase production of a product.
 - Contacts to be identified or developed.
 - Goals for improving job-related behavior, e.g., tardiness, interpersonal relationships with customers.
 - Training objectives to improve job performance or support other job-related goals.
- Performance standards for the accomplishment of objectives, goals and priorities:
 - Time—target dates, specified length of time.
 - Quantity—total number, number per hour (per day, month, etc.), percentage of a total.
 - Quality—number of errors acceptable, degree of acceptance by customers, depth of research.

N.B. An AWP can be prepared in increments during the reporting period and revised as situations change. It is not necessary to prepare a new AWP as revisions or additions become necessary. They should appear as add-ons to the original document.

A CHECKLIST FOR PERFORMANCE APPRAISAL INTERVIEWS

- I. The place should be:
 - Private—borrow an office, if necessary.
 - Free from interruptions by people and telephones.
- II. The time should be:
 - Scheduled in advance—set an appointment far enough ahead for both supervisor and employee to prepare for the interview.
 - Long enough for a meaningful discussion—it may be shorter if the employee and the supervisor work closely with each other on a daily basis, longer if they have had only occasional conversations during the year.
- III. Preparations should include:
 - A. For the supervisor:
 - Reviewing the Advance Work Plan for the past year.
 - Reviewing the completed Performance Appraisal Report.
 - Make sure the PAR has covered objectives in the AWP.
 - Make sure all required elements in the instructions have been covered.
 - Planning the agenda:
 - How to get off to a good start.
 - How to balance praise and constructive criticism.
 - Deciding which key points need to be expanded on during the interview.
 - Considering any follow-up action which should be discussed.
 - Thinking about the Advance Work Plan to be prepared for the coming period.
 - B. For the employee:
 - Reviewing the Advance Work Plan.
 - Considering how well or poorly objectives were met *and why*.
 - Thinking about the Advance Work Plan to be prepared for the coming period.

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IV. The interview should include:

- A review and discussion of performance during the period being rated.
- A discussion of factors which contributed to or prevented success in meeting goals.
- A consideration of recent success or failure in context of total year's performance.
- Clarification of how both the supervisor and the employee see the performance.
- A forecast of the employee's role during the coming year.

TIPS FOR APPRAISAL INTERVIEWS

Suggestions for Supervisors

- Put the employee at ease. Don't be afraid to exchange a few pleasantries at first as long as the interview does not degenerate into a meaningless gabfest. Assure the employee that everything said will be kept confidential.
- Listen. Remember that the interview is to be a two-way communication. There is no point in a personal interview if one person is going to do all the talking; the same end could be accomplished with a letter!
- Don't interrupt. The employee may be just about to say something really significant. The appraisal interview should be an opportunity for the employee to review and discuss interests and goals.
- Avoid argument. Don't be afraid to state your views of the employee's performance, but also listen to the other side. You might get a new slant on the job and its requirements.
- Take a positive approach. Don't be afraid to praise good performance. Stress the employee's strong points, as well as pointing out deficiencies.
- Be constructive; suggest ways to improve in areas where the employee's performance is weak.
- Keep the focus on the job. You are concerned with how well the employee does the job, not with personality faults unless they directly affect job performance.
- Ask open questions. Questions that cannot be answered with a simple yes or no protect the employee from having to make a firm commitment until all aspects of the appraisal are out on the table. They can also provide more meaningful information about what the employee thinks and feels.
- Don't rush the employee out but conclude the interview when it has passed the point of diminishing returns. A good supervisor neither cuts short an interview which is contributing to the employee's development nor prolongs one which is simply wasting time.

A Few Suggestions for Supervisors in Corrective Action

- Keep the focus on the job and the employee's performance of it. Allow the employee to discover his/her weaknesses.
- Don't be afraid to use the knowledge you have gained of the different personalities of your employees. One individual may respond best to a frank and even tough approach to shortcomings; another may be psychologically destroyed by the same approach. Gear your criticism accordingly.

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- Never dwell on a problem that has no solution; learn to accept the fact that all employees have certain personality quirks. Your job is not to change an individual's personality, but only to help get the job done better.
- Developing employees. Some people are content with what they are doing, and don't want to move up any further in the organization. Others, of course, are dissatisfied. One of the purposes of the interview should be to explore the employee's job satisfaction quotient or ratio of discontent. Even here, the mere fact that an employee is contented or discontented is only a start—you must find out why.

FOLLOW-UP TO THE PERFORMANCE APPRAISAL REPORT

Performance appraisal is a continuous process, occurring throughout the year, as the supervisor and the employee set goals, select methods of operation, and evaluate results. The occasion of the formal annual (or special) written Performance Appraisal Report is a good time to summarize what has happened during the year, take corrective action where necessary, and reaffirm the process of ongoing supervisor/employee communication. The performance appraisal interview should end on a positive note to set the tone for the coming year. It is the time for a fresh slate for all employees, whether they are strong or weak performers, and the new Advance Work Plan, prepared after the PAR, should provide the framework.

The most common dilemmas at the end of a reporting period are what to do about the marginal performer and what to do about the outstanding performer. It is one of the supervisor's responsibilities to determine whether the employee is close enough to one extreme of the scale or the other to warrant special attention. In either case, the most important question to ask is what motivated that kind of performance. Obviously in the case of the marginal performer, the supervisor will want to help the employee change the motivating forces. For the outstanding performer, the supervisor will want to help reinforce and perhaps expand the motivating forces. Each case will be different, but the following suggestions may be appropriate in dealing with your subordinate:

The Marginal Performer

- Identify some tasks which you know the employee can perform successfully to help preserve self-respect. Revise the Advance Work Plan for a shorter time period and closely monitor progress, adding responsibility as the individual demonstrates proficiency.
- Help the employee identify weaknesses and set goals for overcoming them.
- Provide closer supervision and continuous feedback.
- Consider whether or not remedial training is appropriate.

CAUTION: Not all marginal performers can be turned around. The supervisor should recognize that there may come a time when disciplinary action, perhaps leading to termination, is the only viable solution.

The Outstanding Performer

- Consider monetary rewards and special recognition—promotion, quality step increase, special awards.
- Give the individual more control over responsibilities, e.g., less supervision, greater role in planning, presenting own work to senior management.

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- Give the individual responsibility for training or supervising others.
- Consider whether or not a new job with greater breadth and responsibility is appropriate.

CAUTION: Just because an employee is an outstanding performer in the current job doesn't mean that a change is appropriate or desired. Changes such as those listed above, if unwanted by the employee, may be counter-productive. The employee *must* play a *major* role in deciding what will follow an outstanding PAR.

An employee may be an outstanding performer but be at the top of the grade for the discipline. Rewards other than promotion will have to be considered, unless the employee is willing and has the qualifications to change career paths.

PREPARING THE EVALUATION OF POTENTIAL

“Potential for what?”

That is the first question that must be asked before preparing an Evaluation of Potential. The Organization defines this evaluation as an assessment of the employee's readiness or potential to assume higher levels of responsibility. Sometimes performance is a good indicator of potential, but not always. The supervisor must bear in mind that not all jobs offer the opportunity for an employee to demonstrate readiness to assume a higher level of responsibility, even though the employee may be performing very well. Conversely, a job may offer many opportunities for the employee to demonstrate potential, but the employee has to struggle to meet the basic requirements of the job. This same employee may, however, demonstrate a high level of potential if moved to another job.

These are two extreme examples, but they illustrate that potential can be a tricky quality to evaluate. It is for this reason that the Evaluation of Potential should be based on direct observation and limited to the supervisor's own field of expertise. If the qualities which would indicate a capacity for growth and advancement were not observable during the rating period because of the nature of the job, the supervisor should not attempt to predict or anticipate the employee's ability to handle higher level responsibilities. Unless an employee is already selected for an existing or projected vacancy, it is not a good idea to evaluate an employee's potential for a specific job. Similarly, it is not advisable to talk in terms of promotions to specific grade levels. In both assignments and promotions, the supervisor usually has limited control over the outcome and, therefore, should not lead the employee to expect specific rewards to follow comments made in an Evaluation of Potential.

If it appears that the employee has the potential to assume higher level responsibility outside the current discipline, the supervisor should discuss this with an officer who has office/division or Career Service-level responsibilities for career management and counseling (e.g., a Career Development Officer). Career Management Officers and evaluation panels also have the responsibility for reviewing the employee's record in broader career terms, e.g., potential for higher responsibility, including consideration of possible assignments outside the current discipline, if they appear appropriate in light of the employee's cumulative performance record and supervisors' assessments of potential in the fields in which the employee has served to date.

An Evaluation of Potential must be completed whenever a Performance Appraisal Report is required. The following are examples of qualities which may be appropriate in explaining supervisor's judgment of the employee's potential:

- Demonstrates leadership qualities.
- Requires detailed direction and close supervision.

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- Thinks quickly on his/her feet.
- Prefers not to train or direct others.
- Always exceeds the minimum requirements of the current job without direction from the supervisor.
- Is eager to take on new tasks or try new ways of performing old ones.

Examples should be given of how and under what circumstances the employee demonstrated the qualities which are indicative of potential, or the lack thereof. Evaluation must be supported by facts.

A P P E N D I X

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APPENDIX A

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PERFORMANCE APPRAISAL REPORT				
SECTION A				
GENERAL INFORMATION				
1. SOC SEC NUMBER	2. NAME (Last, first, middle)	3. SD	4. SCHED	5. GRADE
6. AFFILIATION		7. OCCUPATIONAL TITLE		
8. OFFICE/DIVISION/BRANCH OF ASSIGNMENT		9. CURRENT STATION		10. HQS
11. REPORTING PERIOD		12. DATE REPORT DUE IN OP	13. TYPE OF REPORT	
SECTION B				
QUALIFICATIONS UPDATE				
QUALIFICATIONS UPDATE FORM BEING SUBMITTED WITH CHANGES, AND IS IT ATTACHED TO THIS REPORT?			YES	NO
SECTION C				
SPECIFIC DUTIES				
List in order of importance the specific duties performed during the rating period. Insert rating which best describes the manner in which employee performs EACH specific duty. Consider ONLY effectiveness in performance of that duty. All employees with supervisory responsibilities MUST be rated on their ability to supervise (indicate number of employees supervised). Definitions of ratings to be used are found in Section E of this form. See directions for completing performance appraisal package(form 45i) for additional guidance.				
SPECIFIC DUTY NO. 1				RATING NUMBER
SPECIFIC DUTY NO. 2				RATING NUMBER
SPECIFIC DUTY NO. 3				RATING NUMBER
SPECIFIC DUTY NO. 4				RATING NUMBER
SPECIFIC DUTY NO. 5				RATING NUMBER
SPECIFIC DUTY NO. 6				RATING NUMBER

FORM 45
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ORG 308235, EXT SAME RSN 30J
(04)

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SECTION D		COMMENTS AND CERTIFICATION	
1. SUPERVISOR'S COMMENTS			
<p>AMPLIFY OR EXPLAIN the individual ratings given for specific duties in Section C. Indicate significant strengths or weaknesses demonstrated and any suggestions made for improvement of work performance. Give recommendations for training. See attached instructions for required comments on: Cost Consciousness, EEO, Safety, Security, and Evaluation of supervisors, etc.</p>			
2. OVERALL PERFORMANCE RATING			
<p>The overall performance rating should take into account everything about the employee which influences effectiveness. See attached instructions for details.</p>			RATING NUMBER:
3. SUPERVISOR CERTIFICATION			
MONTHS EMPLOYEE HAS BEEN IN THIS POSITION _____ MONTHS UNDER MY SUPERVISION _____	IF THIS REPORT HAS NOT BEEN SHOWN TO EMPLOYEE, GIVE EXPLANATION.		
INTERIM DISCUSSION(S) ABOUT WORK PLAN PROGRESS _____ WAS/ _____ WAS NOT HELD. (Check one)			
DATE	TITLE OF SUPERVISOR	TYPED OR PRINTED NAME AND SIGNATURE	

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PERFORMANCE APPRAISAL REPORT				
GENERAL INFORMATION				
1. SOC SEC NUMBER	2. NAME (Last, first, middle)	3. SD	4. SCHED	5. GRADE
6. AFFILIATION		7. OCCUPATIONAL TITLE		
8. OFFICE/DIVISION/BRANCH OF ASSIGNMENT		9. CURRENT STATION		10. HQS
11. REPORTING PERIOD		12. DATE REPORT DUE IN OP		13. TYPE OF REPORT
4. EMPLOYEE COMMENTS (Optional)				
THE EMPLOYEE HAS THE OPTION TO PROVIDE A SELF APPRAISAL OF PERFORMANCE, AND TO COMMENT OR NOT ON THE SUPERVISOR'S EVALUATION AND/OR THE REVIEWER'S COMMENTS.				
I CERTIFY THAT THIS REPORT WAS DISCUSSED WITH ME BY MY SUPERVISOR.		DATE	SIGNATURE OF EMPLOYEE	
5. REVIEWING OFFICIAL COMMENTS				
COMMENT OF REVIEWING OFFICIAL.				
DATE	TITLE OF REVIEWING OFFICIAL		TYPED OR PRINTED NAME AND SIGNATURE	
I CERTIFY THAT I HAVE READ THE REVIEWER'S COMMENTS.		DATE	SIGNATURE OF EMPLOYEE	

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SECTION E

PERFORMANCE APPRAISAL DEFINITIONS

Individual Duty	Overall Performance
1. Individual consistently fails to meet the established work standards for the duty or task performed. Performance is unsatisfactory.	Performance does not meet all established work standards for the position and specifically demonstrates the individual's failure to meet one or more important job requirements (e.g., doesn't complete work; lacks the necessary knowledge, skill, or ability to do the job properly). Performance is unsatisfactory.
2. Individual frequently fails to meet the work standard for the duty or task performed. Performance is marginal.	Performance frequently does not meet all established work standards for the position and reflects a significant problem relating to the individual's suitability for continued assignment in the job (e.g., seldom completes work assignments without strong support; work products or services are often faulty and incomplete). Performance is marginal.
3. Individual occasionally fails to meet the work standard for the duty or task performed. Performance is acceptable.	Performance generally meets established work standards for the position but characteristically needs improvement in a specific area or on occasion falls somewhat short of satisfying all job requirements (e.g., inconsistent work effort in meeting deadlines; quality of work product or service sometimes needs to be improved). Performance is acceptable.
4. Individual fully meets the work standards for the duty or task performed.	Performance meets all established work standards for the position and attests to a satisfactory level of job-related knowledge, skill or ability (e.g., does what is expected; reliable and dependable, a typical performer).
5. Individual occasionally exceeds the established work standard for the duty or task performed. Performance is good.	Performance occasionally exceeds established work standards for the position and is generally of higher quality than is required to do the job satisfactorily (e.g., generally produces a better than average product or service; reveals a good level of knowledge, ability and skill in satisfying work requirements). Performance is good.
6. Individual frequently exceeds the established work standard for the duty or task performed. Performance is excellent.	Performance frequently exceeds established work standards for the position and shows that the individual's level of job-related knowledge, skill, and ability is highly developed (e.g., functions with ease in satisfying work requirements, producing a high-quality product or service). Performance is excellent.
7. Individual invariably exceeds the established work standard for the duty or task performed. Performance is superior.	Performance invariably exceeds established work standards for the position, and is characterized by extraordinary proficiency suggestive of one expert at doing the job (e.g., highly efficient performer, one who demonstrates impressive knowledge, skill and ability in his or her work performance). Performance is superior.

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DIRECTIONS FOR COMPLETING PERFORMANCE APPRAISAL PACKAGE

The Performance Appraisal Package consists of the following 4 parts:

1. Performance Appraisal Report
2. Evaluation of Potential
3. Advance Work Plan
4. Directions

1. THE PERFORMANCE APPRAISAL REPORT

Section A—General Information

- This section will be pre-printed by computer.
- No changes are to be made except for the reporting period, if necessary.

Section B—Qualifications Update.

- Indicate whether employee's qualifications are updated during the reporting period and whether they are attached.

Section C—Performance Appraisal of Specific Duties

- Describe each duty in sufficient detail to provide information which may be useful later in considering individuals for other assignments.
- List in order of importance the duties performed during the rating period.
- Use a single number for each specific duty. Decimals, plus or minus signs, or other modifications may not be added.

Section D—Comments and Certification

- Narrative comments must support rating of specific duties, make the connection with the Work Plan goals, and explain the basis for the overall rating.
- While a brief statement on the mission and functions of the office may be appropriate to set the stage, narrative comments should concentrate on the performance of the individual being rated.
- The first sentence of the narrative in reports on employees in the three-year trial period must recommend for or against continuation of employment.
- The following factors should be commented on as appropriate:

Mobility	Dependability
Oral expression	Quality and quantity of work
Written expression	Versatility
Timeliness of performance	Security consciousness
Foreign language competence	Interpersonal relationships
Initiative	Acceptance of responsibility
Productivity	Records discipline
Resourcefulness	Judgment
Cooperativeness	Decisiveness
Cost consciousness	

- In addition to any other appropriate factors listed above, the following factors must be addressed for personnel GS-12 and above. A single inclusive statement is acceptable if all factors are satisfactory; specific comment is required where a factor is deficient or is unusually proficient.

Cost consciousness	Judgment
Security consciousness	Acceptance of responsibility
Cooperativeness	Initiative
Records discipline	

- In addition to any other appropriate general or grade factors listed above, the following factors must be addressed in reports for supervisory and managerial personnel. A single inclusive statement is acceptable if all factors are satisfactory; specific comment is required where a factor is deficient or is unusually proficient.

Subordinate management and development
 Quality of performance appraisal
 Delegation of responsibility
 Equal employment opportunity
 Use of personnel, space, equipment, funds, etc.
 Goal setting and achievement

Overall Performance Rating

- Overall performance includes ratings on specific duties and all other appropriate job-related factors, such as the employee's conduct on the job, productivity, adaptability, comprehension of the organization and mission of the directorate, and sensitivity to the principles of equal employment opportunity and advancement. The overall rating is not an average of the rating on the specific duties.
- Although promotability may be considered in the overall rating, no specific promotion recommendations will be made on Performance Appraisal Reports. (Promotion recommendations will be made according to)
- The supervisor's signature certifies that the Performance Appraisal Report has been shown to and discussed with the employee. When for any reason a PAR is not shown to an individual prior to forwarding to the Office of Personnel for processing, it is the responsibility of the Career Service to have the report subsequently shown to the individual and the record documented.
- The employee comments section is optional; it is not intended to replace a discussion of performance between the employee and the supervisor.

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- Reviewing officials must provide substantive comment on the individual being rated. If the reviewer is in substantial disagreement with the supervisor, the evaluation should be discussed with the supervisor and the employee.
- Reviewing officials have the following responsibilities for insuring the integrity of the system:
 - a. Monitoring follow-up administrative action when overall performance is rated at the 1 or 2 level.
 - b. Returning incomplete or inconsistent reports to supervisors for corrective action.

2. THE EVALUATION OF POTENTIAL FOR ADVANCEMENT

Section B

- Indicate whether or not it was possible to observe readiness for assuming higher level responsibility in the performance of this individual during this reporting period.
- If readiness to assume higher level responsibilities, or the lack thereof, was observable in the performance of this individual during this reporting period, check the statement which best describes your estimate of the employee's potential.

Section C

- Be specific when stating qualities that demonstrate capacity for growth and advancement; give specific examples of how the employee demonstrates these qualities.

- Do not try to be specific in predicting an employee's grade level potential or specific jobs you think the employee will hold. Such predictions, if they don't come true, lead to disappointment and even grievances.

3. THE ADVANCE WORK PLAN

Section A—Employee's Job

- Describe briefly where this employee's position fits into the organization.
- If appropriate, state the number and type of employees supervised by this employee.
- Do not attempt to summarize the job description.

Section B - Work Objectives, Goals, and Priorities

- Do not attempt to summarize the job description.
- List objectives, goals, and priorities for the period covered by the plan.
- Identify performance standards of quantity, quality, and time which will be used to rate the employee on the PAR at the end of the period.
- Be specific. For example, one general duty on the job description may represent three or four elements or tasks which are going to be important during the period covered by the Work Plan; identify each such task, with the standard which will be used to measure success or failure.
- Whenever possible, the identification of objectives, goals, and priorities should be a joint effort by the supervisor and the employee.
- Update the Work Plan whenever necessary during the period covered simply by annotating the form (Use the back if additional space is needed.)

DISTRIBUTION

PAR and EVALUATION OF POTENTIAL

Original copy to Office of Personnel through Head of the Career Service concerned.

Minimum of one copy to be retained by the Career Service.

AWP

Held by the component until end of period covered, then attached to appropriate PAR.

Forwarded according to PAR distribution.

EVALUATION OF POTENTIAL		CAUTION: BLANK FORM REQUIRES
SECTION A GENERAL INFORMATION		
1. SOC. SEC. NUMBER	2. NAME (last, first, middle)	3. REPORTING PERIOD
EVALUATION AND COMMENTS MUST BE LIMITED TO DIRECT OBSERVATION OF PERFORMANCE AND BE WITHIN THE SUPERVISOR'S AREA OF EXPERTISE. THE EVALUATION IS AN ESTIMATE OF THE INDIVIDUAL'S POTENTIAL TO ASSUME ADDED RESPONSIBILITY.		
SECTION B EVALUATION		
<p>CHECK ONE:</p> <p>_____ THE ASSIGNMENT DURING THIS RATING PERIOD DID NOT OFFER THE OPPORTUNITY TO EVALUATE READINESS TO ASSUME HIGHER LEVEL RESPONSIBILITY. EMPLOYEE IS RENDERING A VALUABLE CONTRIBUTION.</p> <p>_____ READINESS TO ASSUME HIGHER LEVEL RESPONSIBILITY CAN BE DEMONSTRATED IN THIS ASSIGNMENT. THE READINESS OF THIS INDIVIDUAL, AS OBSERVED IN THE PERFORMANCE DURING THIS RATING PERIOD, CAN BEST BE DESCRIBED BY THE FOLLOWING STATEMENT:</p> <p style="margin-left: 40px;">_____ EMPLOYEE APPEARS TO LACK THE CAPABILITY TO ASSUME HIGHER LEVEL RESPONSIBILITY.</p> <p style="margin-left: 40px;">_____ IT IS DIFFICULT TO JUDGE WHEN THE EMPLOYEE MAY BE READY TO ASSUME A HIGHER LEVEL OF RESPONSIBILITY. EMPLOYEE HAS ROOM TO GROW WITHIN THE SCOPE OF RESPONSIBILITIES OF THE PRESENT JOB.</p> <p style="margin-left: 40px;">_____ EMPLOYEE PERFORMS THE FULL RANGE OF RESPONSIBILITIES IN THE CURRENT JOB AND WILL BE READY TO ASSUME HIGHER LEVEL RESPONSIBILITY WITH APPROPRIATE TRAINING AND EXPERIENCE.</p> <p style="margin-left: 40px;">_____ EMPLOYEE IS READY TO ASSUME HIGHER LEVEL RESPONSIBILITY.</p>		
SECTION C SUPERVISOR'S COMMENTS		
EXPLAIN YOUR CHOICE ABOVE. STATE THE QUALITIES OF WORK PERFORMANCE THAT BEST DEMONSTRATE READINESS FOR GROWTH AND ADVANCEMENT, OR THE LACK THEREOF, SUPPORT WITH EXAMPLES.		
SECTION D CERTIFICATION		
TYPED OR PRINTED NAME OF SUPERVISOR	SIGNATURE	DATE
SIGNATURE OF EMPLOYEE		DATE

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APPENDIX B

WHERE TO GO FOR ASSISTANCE

Administrative and Procedural Questions

Performance Appraisal Package Instruction Sheet
Performance Appraisal Handbook
Component Personnel or Administrative Officer

Training in Performance Appraisal

Self-Study Center
Office of Training
Performance Appraisal Workshop
(Performance appraisal is covered as a topic in several other OTR courses.
Contact your training officer.)

Advice and Assistance on the Content of a Report

Chain of Command
Component Personnel or Administrative Officer
Component Career Management Officer

Where to Refer an Employee for Additional Counseling

Chain of Command
Component Personnel or Administrative Officer
Component Career Management Officer
Evaluation Board Representative (if applicable)
Grievance or EEO Counselors
Staff Personnel Division, Office of Personnel

Special Problems

Occasionally performance problems are caused or aggravated by personal problems. Because of the sensitive nature of any personal problem, consult your supervisor and component personnel officer before referring an employee on the basis of any problem listed below.

<u>Problem</u>	<u>Office of Assistance</u>
Health (employee or family)—includes alcoholism, drug abuse, physical or mental health problems.	Office of Medical Services
Financial	Credit Union Personal Affairs Branch, Office of Personnel
Legal	Office of General Counsel

